

**Rules and Guidelines
for Use of the
CIMA[®] and CPWA[®] Marks**

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Introduction

Individuals who have met Investment Management Consultants Association's rigorous credentialing standards to be designated as CIMA[®] professionals and Certified Investment Management AnalystSM professionals or CPWA[®] professionals and Certified Private Wealth AdvisorSM professionals have been licensed by Investment Management Consultants Association ("IMCA") to use the following marks (referenced to respectively as the "CIMA[®] marks" or the "CPWA[®] marks") in their business communications and marketing materials:

"THE CIMA[®] MARKS"

- CIMA[®]
- Certified Investment Management AnalystSM

"THE CPWA[®] MARKS"

- CPWA[®]
- Certified Private Wealth AdvisorSM

This Rules and Guidelines for Use of the CIMA[®] and CPWA[®] Marks publication ("Marks Guide") has been developed to assist CIMA[®] and CPWA[®] designees in using the CIMA[®] marks and CPWA[®] marks in print and electronic business communications and marketing materials, including business cards, letterhead, advertisements, presentation materials, signage, Web sites, and other promotional materials.

Proper use of the CIMA[®] marks and CPWA[®] marks is crucial. When properly used, these marks represent IMCA's high standards of excellence for investment management consulting and wealth advising services and demonstrate CIMA[®] and CPWA[®] designees' commitment to upholding these standards. Moreover, the CIMA[®] marks and CPWA[®] marks are certification marks and, as such, must be used in compliance with trademark and certification mark law. If marks are used improperly, they can eventually lose their exclusive status. If this were to happen to the CIMA[®] marks or CPWA[®] marks, you and all CIMA[®] or CPWA[®] designees would lose the value and differentiation of these designations. To prevent this from happening, IMCA mandates proper use of the CIMA[®] marks and CPWA[®] marks in its *Standards of Practice*, *Code of Professional Responsibility*, and *Disciplinary Rules and Procedures*.

Please become familiar with this Marks Guide and adhere to its rules and guidelines when developing business communications and marketing materials that include the CIMA[®] marks or CPWA[®] marks. While we have provided examples of how to use these marks properly, we cannot anticipate all possible uses. If you need further assistance, or would like IMCA's Marketing and Communication Department to review business materials that you are developing that include any of the CIMA[®] marks or CPWA[®] marks, please contact us at 303.770.3377 or info@imca.org.

Thank you for your assistance in positioning and preserving the CIMA[®] marks and CPWA[®] marks as symbols of the highest investment management consulting and wealth advising standards.

**Please Note: For those who are authorized by IMCA to use the CIMC[®] and Certified Investment Management ConsultantSM marks, please follow the same rules set forth for use of the CIMA[®] marks.*

Section I: License Requirements

- 1.1 The CIMA[®] marks and CPWA[®] marks must be used only as described in this Marks Guide and in accordance with the CIMA[®] or CPWA[®] designees' License Agreement with IMCA, which is entered into upon receiving CIMA[®] or CPWA[®] certification, and renewed biennially when IMCA's requirements for ongoing certification are met. All rights of CIMA[®] and CPWA[®] designees to use the CIMA[®] marks and CPWA[®] marks are derived solely from that License Agreement, and CIMA[®] and CPWA[®] designees have no rights in any of the CIMA[®] marks or CPWA[®] marks other than those granted by that License Agreement.
- 1.2 All CIMA[®] and CPWA[®] designees and former CIMA[®] and CPWA[®] designees acknowledge that IMCA is the sole, absolute, and exclusive owner of all rights, title, and interest in and to the CIMA[®] marks and CPWA[®] marks throughout the world in connection with awarding the CIMA[®] and CPWA[®] designations, and providing certification services, investment management consulting and analysis services, wealth advising services, educational services, association services, and related services.
- 1.3 CIMA[®] and CPWA[®] designees and former CIMA[®] and CPWA[®] designees agree not to challenge the validity of the CIMA[®] marks or CPWA[®] marks, and the goodwill associated therewith, in any country throughout the world.
- 1.4 CIMA[®] and CPWA[®] designees and former CIMA[®] and CPWA[®] designees agree not to adopt, use, or promote any mark that is confusingly similar to any of the CIMA[®] marks or CPWA[®] marks, as determined by IMCA.

- 1.5 CIMA® and CPWA® designees and former CIMA® and CPWA® designees agree not to challenge IMCA's sole, absolute, and exclusive ownership of all rights, title, and interest in and to the CIMA® marks or CPWA® marks in any country throughout the world.
- 1.6 CIMA® and CPWA® designees and former CIMA® and CPWA® designees agree not to take, encourage, or promote any action that impairs or might impair the rights of IMCA in and to the CIMA® marks or CPWA® marks, or the goodwill associated therewith, or use the CIMA® marks or CPWA® marks in a way that would make it difficult for IMCA to assert its ownership of the marks in any country throughout the world.
- 1.7 All CIMA® designees and former CIMA® designees also are subject to the conditions relating to the CIMA® marks as set forth in the CIMA® License Agreements, the IMCA *Standards of Practice, Code of Professional Responsibility, Disciplinary Rules and Procedures*, and CIMA® certification renewal policies and forms.
- 1.8 All CPWA® designees and former CPWA® designees also are subject to the conditions relating to the CPWA® marks as set forth in the CPWA® License Agreements, the IMCA *Code of Professional Responsibility, Disciplinary Rules and Procedures*, and CPWA® designation renewal policies and forms.

Section 2: Overview of Basic Rules for Using the Marks

The purpose of this overview is a quick reference guide to proper use of the CIMA® marks and CPWA® marks. For more detailed and comprehensive rules and guidelines for proper use of these marks, please refer to the appropriate sections of this Marks Guide.

CIMA® designees are licensed by IMCA to use the CIMA® marks in their business communications and marketing materials. CPWA® designees are licensed by IMCA to use the CPWA® marks in their business communications and marketing materials. As stated in the introduction to this Marks Guide, trademark law requires that trademarks MUST be used properly and subject to license agreements. If the CIMA® marks or CPWA® marks are not used properly, their value as trademarks could be lost.

- 2.1 Basic rules for using the CIMA® marks and CPWA® marks
 - Always use all capital letters.
 - Never use periods between the CIMA® or CPWA® letters. (It is proper to use a period at the end of a sentence, e.g., "I received advice from John Doe, CIMA®." or "I received advice from John Doe, CPWA®.")
 - Always use the registration symbol (®) at the end of the CIMA® mark, thus: CIMA®, at least in the first reference to the mark, in all print and electronic materials, including e-mail signatures. It is best to use the registration symbol each time the CIMA® mark is used.
 - Always use the registration symbol (®) at the end of the CPWA® mark, thus: CPWA®, at least in the first reference to the mark, in all print and electronic materials, including e-mail signatures. It is best to use the registration symbol each time the CPWA® mark is used.
 - Always use the CIMA® and CPWA® marks as adjectives, followed by one of the IMCA-approved nouns: "designee," "professional," "consultant," "advisor," "designation," or "mark," except when following a person's name. For CIMA® marks only, these three nouns also are approved: "certificate," "certificant," and "certification."
- 2.2 Basic rules for using the Certified Investment Management AnalystSM and Certified Private Wealth AdvisorSM marks
 - Always use initial capital letters and lowercase only.
 - Always use the "SM" service mark designation at the end of the marks, thus: Certified Investment Management AnalystSM and Certified Private Wealth AdvisorSM.
 - Always use the Certified Investment Management AnalystSM and Certified Private Wealth AdvisorSM marks as adjectives, followed by one of the IMCA-approved nouns: "designee," "professional," "consultant," "advisor," "designation," or "mark."
- 2.3 Whenever possible, use the following CIMA® marks notice in all materials that use one or more of the CIMA® marks:

Investment Management Consultants Association is the owner of the certification mark "CIMA®," the service marks "Certified Investment Management AnalystSM," "Investment Management Consultants AssociationSM," and "IMCA®." Use of CIMA® or Certified Investment Management AnalystSM signifies that the user has successfully completed IMCA's initial and ongoing credentialing requirements for investment management consultants.

Whenever possible, use the following CPWA® marks notice in all materials that use one or more of the CPWA® marks:

Investment Management Consultants Association is the owner of the certification mark "CPWA®" and the service marks "Certified Private Wealth AdvisorSM," "Investment Management Consultants AssociationSM," and "IMCA®." Use of CPWA® or Certified Private Wealth AdvisorSM signifies that the user has successfully completed IMCA's initial and ongoing credentialing requirements for wealth advisors.

Whenever possible, use the following CIMA®/CPWA® marks notice in all materials that use both the CIMA® and CPWA® marks:

Investment Management Consultants Association is the owner of the certification marks "CIMA®" and "CPWA®," the service marks "Certified Investment Management AnalystSM," "Certified Private Wealth AdvisorSM," "Investment Management Consultants AssociationSM," and "IMCA®." Use signifies that the user has successfully completed IMCA's initial and ongoing credentialing requirements for certification.

Section 3: Detailed Rules and Guidelines for Proper Use of the CIMA® Marks and CPWA® Marks

3.1 The CIMA® marks and CPWA® marks must appear in all capital letters and without periods between the letters. It is proper to use a period after "CIMA®" and/or "CPWA®" when they appear at the end of a sentence.

Correct Use:

- John Doe, CIMA®
- John Doe, CPWA®
- We have hired an investment management consultant, John Doe, CIMA®.
- We have hired a wealth advisor, John Doe, CPWA®.
- The services were provided by John Doe, CIMA®.
- The services were provided by John Doe, CPWA®.

Misuse:

- John Doe, C.I.M.A.®
- John Doe, C.I.M.A.®.
- John Doe, C.P.W.A.®.

3.2 The CIMA® marks must appear with a superscript registration symbol "®" in its first use in all business communications and marketing materials, both in print and electronic form. It is best to use the registration symbol as often as practical in all materials. **Note—**not all e-mail software applications recognize the "®" symbol. Therefore, a (R) is acceptable (i.e., Jane Doe, CIMA(R)).

Correct Use:

Jane Doe is a CIMA® professional specializing in investment management consulting. There are two other CIMA professionals working in her office.

Misuse:

Jane Doe is a CIMA professional specializing in investment management consulting.

The CPWA® marks must appear with a superscript registration symbol "®" in its first use in all business communications and marketing materials, both in print and electronic form. It is best to use the registration symbol as often as practical in all materials. **Note—**not all e-mail software applications recognize the "®" symbol. Therefore, a (R) is acceptable (i.e., Jane Doe, CPWA(R)).

Correct Use:

Jane Doe is a CPWA® professional specializing in wealth advising. There are two other CPWA professionals working in her office.

Misuse:

Jane Doe is a CPWA professional specializing in wealth advising.

- 3.3 The CIMA® marks and CPWA® marks must be used as descriptive adjectives, not as nouns or verbs, except when used as a professional designation within an e-mail signature block, on letterhead, on business cards, or the like.

Correct Use:

John Doe is a CIMA® professional.
John Doe is a CPWA® professional.
He practices investment management as a CIMA® consultant.
He practices wealth advising as a CPWA® professional.
John is a CIMA® designee specializing in investments.
John is a CPWA® designee specializing in investments.

Correct Use Exception:

John Doe, CIMA®
Doe Financial Services

John Doe, CPWA®
Doe Financial Services

Misuse:

John Doe is a CIMA®.
John Doe is a CPWA®.
He practices investment management as a CIMA®.
He practices wealth advising as a CPWA®.

- 3.4 The CIMA® marks and CPWA® marks may not be used as plural or possessive words.

Correct Use:

Jane Doe and John Doe are CIMA® designees.
Jane Doe and John Doe are CPWA® designees.
The CIMA® professionals' seminar was sold out.
The CPWA® professionals' seminar was sold out.

Misuse:

Jane Doe and John Doe are CIMAs®.
Jane Doe and John Doe are CPWAs®.
The CPWAs' seminar was sold out.

- 3.5 The CIMA® marks and CPWA® marks should be used exclusively with the approved nouns: "designee," "professional," "consultant," "advisor," "designation," or "mark." For CIMA® marks only, these three nouns are also approved: "certificate," "certificant," and "certification."

Correct Use:

John Doe is a CIMA® designee.
John Doe is a CPWA® professional.
John Doe is a CIMA® consultant.
John Doe is a CPWA® advisor.
John Doe has obtained his CIMA® designation.
IMCA® is the owner of the CPWA® and Certified Private Wealth AdvisorSM marks.

Misuse:

John Doe is a CIMA®.
John Doe got his CPWA® degree.

- 3.6 Use the "®" registered mark symbol when referring to IMCA® and the "SM" service mark when referring to Investment Management Consultants AssociationSM.

Correct Use:

IMCA® owns the CIMA® and CPWA® certification marks.
Investment Management Consultants AssociationSM licenses CIMA® designees to use the CIMA® marks.
Investment Management Consultants AssociationSM licenses CPWA® designees to use the CPWA® marks.

Section 4: Detailed Rules for Proper Use of the Certified Investment Management AnalystSM and Certified Private Wealth AdvisorSM Service Marks

4.1 The service marks "Certified Investment Management AnalystSM" and "Certified Private Wealth AdvisorSM" must appear in initial capital letters only.

Correct Use:

John Doe is a Certified Investment Management AnalystSM professional.
 John Doe is a Certified Private Wealth AdvisorSM professional.

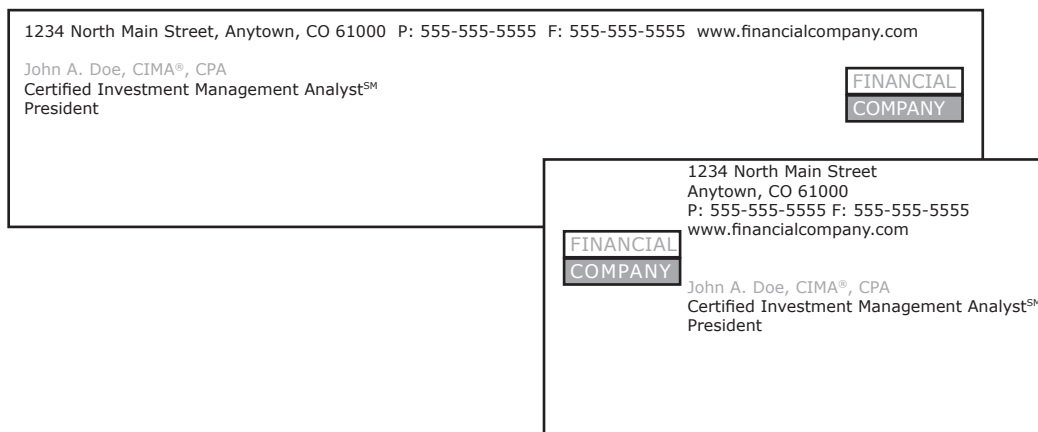
Misuse:

John Doe is a certified investment management analyst professional.
 John Doe is a Certified private wealth advisor professional.

Section 5: Rules for Proper Use of the CIMA[®] marks and CPWA[®] marks in Business Communications and Marketing Materials

5.1 Letterhead and business cards

Letterhead and business cards using the CIMA[®] marks and/or CPWA[®] marks must show the marks after personalization and in close proximity to the personalization.



5.2 Résumés

Résumés using the CIMA[®] marks and/or CPWA[®] marks must show the marks after personalization and in close proximity to the personalization, with correct nouns. The CIMA[®] marks notice, CPWA[®] marks notice, or CIMA[®]/CPWA[®] marks notice should be used, as appropriate. See Section 2.3 for the proper wording of the notices.

<p>EDUCATION Anytown College, Anytown, CO Bachelor of Arts, May 1994 Major: Accounting Minor: English CIMA[®] designation: August 1996 CPA: March 1995</p>	<p>John A. Doe, CIMA[®], CPA Certified Investment Management AnalystSM 1234 North Main Street Anytown, CO 61000 P: 555-555-5555; F: 555-555-5555 johndoe@anyemailaddress.com</p>
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Investment Management Consultants Association is the owner of the certification mark "CIMA[®]," the service marks "Certified Investment Management AnalystSM," "Investment Management Consultants AssociationSM," and "IMCA[®]." Use of CIMA[®] or Certified Investment Management AnalystSM signifies that the user has successfully completed IMCA's initial and ongoing credentialing requirements for investment management consultants.

5.3 Telephone directory advertisements and listings

Telephone directory ads using the CIMA® marks and/or CPWA® marks must show the marks after personalization and in close proximity to the personalization, with correct nouns. Telephone directory listings are an exception to the rule that the registration and service mark symbols ("®" and "SM") must be used with the CIMA® and CPWA® designations, if the directory cannot reproduce these symbols.

Correct Use

Directory Ad

FINANCIAL

COMPANY

John A. Doe, CIMA®, CPA
Certified Investment Management AnalystSM

Jane K. Doe, CPWA®, CIMA®
Certified Private Wealth AdvisorSM
Certified Investment Management AnalystSM

1234 North Main Street
Anytown, CO 61000
555-555-5555
www.financialcompany.com

Directory Listings

Doe Jane K., CPWA®
1234 North Main Street555-555-5555

Doe John, CIMA®, CPA
456 First Street555-555-5555

5.4 Brochures and Flyers

Brochures and flyers containing the CIMA® marks and/or CPWA® marks must show the marks after personalization and in close proximity to the personalization, with correct nouns.

Correct Use

FINANCIAL

COMPANY

John A. Doe, CIMA®, CPA
Certified Investment Management AnalystSM

Jane K. Doe, CPWA®
Certified Private Wealth AdvisorSM

1234 North Main Street
Anytown, CO 61000
555-555-5555
www.financialcompany.com

Misuse

FINANCIAL

COMPANY

John A. Doe, CPA
Jane K. Doe

Certified Investment Management AnalystSM
Certified Private Wealth AdvisorSM

1234 North Main Street
Anytown, CO 61000
555-555-5555
www.financialcompany.com

5.5 Signage

All office signage containing the CIMA® marks and/or CPWA® marks must show the marks after personalization and in close proximity to the personalization.

Correct Use:

Wall and door signage examples show a clear association between the individual and the CIMA® marks and CPWA® marks.

John A. Doe, CIMA®, CPA
Certified Investment Management AnalystSM

Jane K. Doe, CPWA®
Certified Private Wealth AdvisorSM

Section 6: Rules for Proper Use of the CIMA® Marks and CPWA® Marks in Brochures, Articles, Books, and Newsletters

6.1 Use the marks as described in this Marks Guide.

6.2 In text, only the first use of each mark must include the appropriate trademark symbol.

Correct Use:

- Jane Doe is a CIMA® professional and CPWA® designee, specializing in investment management consulting and wealth advising. There are two other CIMA professionals working in her office.
- Jane Doe recently attained the Certified Investment Management AnalystSM designation. She works with another CIMA® professional in Denver. Both CIMA professionals provide quality services.

6.3 Include the appropriate notice.

When possible, use the CIMA® marks notice, the CPWA® marks notice, or the CIMA®/CPWA® marks notice in text documents that include any of the CIMA® marks or CPWA® marks, or both. See Section 2.3 on page four of this Marks Guide for the proper wording of the notices.

Section 7: Rules for Proper Use of the CIMA® Marks and CPWA® Marks on the Internet

Web Sites and Metatags

7.1 Use the marks as described in this Marks Guide.

7.2 In the content of each individual Web site page, only the first use of each of the CIMA® marks or CPWA® marks must include the ®. The "®" symbol must be used on each page on which the marks appear.

7.3 The "CIMA®," "CPWA®," "Certified Investment Management AnalystSM," and "Certified Private Wealth AdvisorSM" marks should appear only once in the metatags of the code within each Web site page belonging to an individual currently certified by IMCA. None of the other CIMA® marks or CPWA® marks should be used in Web site code metatags.

Correct Use:

```
<META name "keywords" content = "CIMA">  
<META name "keywords" content = "CERTIFIED INVESTMENT MANAGEMENT ANALYST, CIMA">  
<META name "keywords" content = "CPWA">  
<META name "keywords" content = "CERTIFIED PRIVATE WEALTH ADVISOR, CPWA">
```

Misuse:

```
<META name "keywords" content = "CIMA, CIMA, CIMA, CIMA">  
<META name "keywords" content = "CPWA, CPWA, CPWA, CPWA">  
<META name "keywords" content = "CERTIFIED INVESTMENT MANAGEMENT ANALYST, CERTIFIED INVESTMENT  
MANAGEMENT ANALYST, CERTIFIED INVESTMENT MANAGEMENT ANALYST">  
<META name "keywords" content = "CERTIFIED PRIVATE WEALTH ADVISOR, CERTIFIED PRIVATE WEALTH ADVISOR,  
CERTIFIED PRIVATE WEALTH ADVISOR">  
<META name "keywords" content = "IMCA, Investment Management Consultants Association">
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- 7.4 Any of the CIMA® marks and CPWA® marks may only be used as hyperlinks on a CIMA® or CPWA® designee's Web site if these marks link directly to the IMCA Web site (www.IMCA.org).
- 7.5 The CIMA® marks notice, the CPWA® marks notice, or the CIMA®/CPWA® marks notice should appear in an easily visible location on every Web page on which any of the CIMA® marks, CPWA® marks, or both appear, and must not require clicking to a separate page or opening a new window. See Section 2.3 on page four of this Marks Guide for the proper wording of the appropriate notices.

Domain Names

- 7.6 None of the CIMA® marks or CPWA® marks may be used as part of a domain name.

Correct Use:

www.johndoeinvestmentmanagement.com
www.abcwealthadvisors.com

Misuse:

www.johndoeCIMA.com
www.johndoeimcacertified.com
www.AskJaneCPWA.com

E-mail Addresses

- 7.7 The CIMA® marks and CPWA® marks may not be used as part of an e-mail address.

Correct Use:

jdoe@hotmail.com
abcinvestmentmanagement@mchsi.com

Misuse:

CIMApjohndoe@aol.com
jdoecpwa@msn.com
John_Doe@CIMA4U.com

E-mail Signatures

- 7.8 The rules of the Marks Guide apply to all business communications and marketing materials, including e-mail signatures. For details on proper usage of the CIMA® and CPWA® marks, refer to section 3 on page five of this Marks Guide.

Frequently Asked Questions

Q How do I know if I have fully complied with the requirements?

A You may contact Investment Management Consultants Association's marketing department with any questions, comments, or concerns at 303.770.3377 or info@imca.org.

Q What are "marks"?

A "Marks" refer to the certification mark and service marks owned by Investment Management Consultants Association: CIMA® (registered certification mark), CPWA® (registered certification mark), Certified Investment Management AnalystSM (service mark), and Certified Private Wealth AdvisorSM (service mark). IMCA® (registered mark) and Investment Management Consultants AssociationSM (service mark) also are marks owned by IMCA®, but these marks are not licensed to designees. *Please Note: For those who are authorized by IMCA to use the marks CIMC® and Certified Investment Management ConsultantSM marks, please follow the same rules set forth for use of the CIMA® marks.*

Q How do I make the ® and SM symbols in my Word document or on my Web site page?

A **In a Word document:** To enter the ® symbol, hold down the Ctrl and Alt keys, and type the letter "r" or select insert and symbol then choose ®. To make the symbol superscript, select the symbol and press Ctrl + Shift + "+", or select format and font, then check the superscript box. To enter the SM symbol, type the letters SM after the service mark. To superscript, select the letters and press Ctrl + Shift + "+", or select format and font, then check the superscript box. To make slightly smaller, highlight the letters and press Ctrl + "]" to shrink the text one point size. **HTML code for a Web site page:** ® = ® SM = ℠

Q Why is IMCA so concerned with enforcing correct use of the CIMA® marks and CPWA® marks?

A Trademark enforcement is important to protect the public and enhance professionalism. It is imperative that the CIMA® marks and CPWA® marks do not fall into common use. If the marks fall into common use, the public will not be able to differentiate between a consultant who has completed IMCA's rigorous credentialing program of education, examination, experience, and ethics and one who has not.

Q Why must I use the ® registration symbol in connection with my CIMA® and CPWA® designation, when other professionals, such as doctors, lawyers, and CPAs, don't have to?

A Professionals such as doctors, lawyers, and CPAs are governed by state law and earn degrees and titles such as MD and JD. Unlike doctors and lawyers, CIMA® and CPWA® professionals have met certain program requirements set forth by IMCA and, with that, the license to use the CIMA® and CPWA® certification marks. Certification marks are a special type of trademark indicating that the owner of the marks has certified that the goods or services (in your case, investment management consulting and/or wealth advising services) provided by an individual or organization have met certain standards. Examples of other certification marks are:

1. Underwriters Laboratories' certification mark for electrical equipment that complies with its standards
2. O.K. Laboratories' certification mark for foods or restaurant/catering services that are kosher

Q Using the ® and SM symbols makes me feel like a product, not a person. Why should I use these symbols?

A In order to ensure that the public (including current and potential clients) understands what the marks stand for, certain trademark protection requirements must be upheld. The use by CIMA® and CPWA® professionals of the ® and SM symbols in combination with the designation marks goes beyond merely designating the CIMA® or CPWA® professional's personal and educational accomplishments, but also indicates that the CIMA® or CPWA® consultant has met all of the requirements for using the designation, such as agreeing to adhere to the IMCA *Standards of Practice and Code of Professional Responsibility*. Over a period of time, without trademark recognition and protection activities, anyone could use the CIMA® marks or CPWA® marks and call himself or herself a "certified investment management analyst" or "Certified private wealth advisor." Proper use of the marks and associated symbols by CIMA® and CPWA® designees assists IMCA in maintaining its rights to the marks and its unique ability to certify investment management consultants and wealth advisors as CIMA® and CPWA® professionals. Proper use also enhances the value of the marks.

Q Why does Investment Management Consultants AssociationSM use the SM symbol in connection with the name of the organization?

A Investment Management Consultants AssociationSM and IMCA® are service marks owned by Investment Management Consultants Association, and the SM symbol provides notice that service mark rights are claimed in these marks.

Q Why must I add an approved noun to the CIMA® and CPWA® designations?

A Under trademark law, a certification mark must not be used as a title or degree. In practical terms, the use of the CIMA® marks or CPWA® marks as adjectives in connection with a noun is appropriate use under federal law. One requirement imposed on IMCA as a certification mark owner is to maintain quality control over the use of its proprietary certification marks by its designees. Accordingly, IMCA has issued this list of terms as a convenient way to ensure uniform and proper use of the marks.

Q May I choose which IMCA-approved noun I wish to use?

A Yes. It is entirely the choice of the individual. However, it should be used correctly and according to the rules in this Marks Guide.

Q My telephone company didn't/won't add the ® after the CIMA® mark and they didn't/won't follow my other directions regarding adding the noun; what should I do?

A IMCA realizes that some telephone companies will not adhere to trademark regulations in their printed material.

Q Will I be held responsible for third-party trademark misuse?

A IMCA understands that third-party use of the CIMA® marks and CPWA® marks is not within your control. As a CIMA® or CPWA® designee, you have agreed to comply with the rules in this Marks Guide, and we ask that you help educate third parties who may use the marks in association with your name, including the media, about correct use of the CIMA® marks and CPWA® marks. IMCA will not bring a designee before professional review because of third-party misuse of the CIMA® marks or CPWA® marks. Designees may, however, be subject to the professional review process due to misuse of the CIMA® marks or CPWA® marks in their own materials, combined with an extended period of nonresponse to IMCA's requests to stop misusing the marks. Designees should notify IMCA of improper use that comes to their attention.

Q What happens if I don't follow the rules in this Marks Guide?

A As a CIMA® designee or CPWA® designee, you have agreed to adhere to the rules and regulations set by IMCA and to follow this Marks Guide as a condition of your license to use the CIMA® marks or CPWA® marks. If for some reason you decide not to follow the rules in this guide, you may be subject to IMCA's disciplinary process and could have your designation revoked.

Q Why is it incorrect to call myself a "CIMA®" or "CPWA®"?

A One of the most important rules to remember is to use the CIMA® marks and CPWA® marks as adjectives rather than as nouns or as titles. Trademark law specifically precludes titles and designations from receiving trademark protection. As such, it is important to understand that the CIMA® marks and CPWA® marks do not indicate a title, but a certification that is given in recognition of one's satisfaction of IMCA's initial and ongoing standards. Therefore, it is correct to identify yourself as a "CIMA® designee" or "CPWA® designee," but it is incorrect to say that you are a "CIMA®" or "CPWA®." In other words, in your written materials and when speaking with others, always use the CIMA® marks and CPWA® marks as proper adjectives modifying one of IMCA's approved nouns such as "designee," "professional," "consultant," or "advisor."

Q What are the basic guidelines for use of trademark and service mark symbols?

A You must use the ® symbol after "CIMA®" and "CPWA®" and the SM symbol in connection with the Certified Investment Management AnalystSM marks and Certified Private Wealth AdvisorSM marks on your business communications and marketing materials. In written materials, such as newsletter stories, news releases, and correspondence, use the ® symbol in connection with CIMA® and CPWA® marks and the SM symbol in connection with the Certified Investment Management AnalystSM and Certified Private Wealth AdvisorSM marks, at least upon the first mention of the marks and as often as practical thereafter.

Q How does IMCA monitor correct use of the marks?

A CIMA® designees and CPWA® designees help us protect the trademarks' exclusivity by notifying us when they observe a potential unauthorized use or misuse of the CIMA® marks or CPWA® marks. We also monitor the media and government for misuse of the marks.

Q What are the consequences of using the marks improperly?

A Often, the issue can be solved simply by notifying the party of the incorrect use, asking that it be corrected, and requesting proof that the change has been made. If the changes are not made, IMCA can take disciplinary action, in the case of a CIMA® or CPWA® designee, and civil legal action based on trademark law, in any case of unauthorized third-party use.

Q How do I use trademark symbols in my e-mail documents?

A Investment Management Consultants Association recommends placing a capital "R" in parentheses, thus: (R) if you cannot use the registered trademark symbol. Regardless of what program your e-mail recipient is using, the message that the CIMA® mark or CPWA® mark is a registered mark is conveyed. If you use Microsoft Word as your e-mail editor, Word may automatically correct the parentheses into the actual trademark symbols. For the rest of the marks ("Certified Private Wealth Advisor," "Certified Investment Management Analyst," and "Investment Management Consultants Association") use the letters SM inside parentheses, thus: (SM).

Q How do I correctly reference the education process or in-class university portion of the program for earning the CIMA® or CPWA® designation?

A It is important that you do not mislead the public into believing that, by attaining either designation, you earned a degree from one of our partner universities. Therefore, designees should use the following wording as a model when referencing the relationship between IMCA, the designation, and the education providers:

- "Mr. Doe holds the Certified Investment Management AnalystSM designation, administered by Investment Management Consultants AssociationSM and taught in conjunction with The Wharton School, University of Pennsylvania."
- "Mr. Doe holds the Certified Investment Management AnalystSM designation, administered by Investment Management Consultants AssociationSM and taught in conjunction with the Haas School of Business, University of California, Berkeley."
- "Ms. Doe holds the Certified Private Wealth AdvisorSM designation, administered by Investment Management Consultants AssociationSM and taught in conjunction with The University of Chicago Booth School of Business."

Investment Management Consultants Association

www.IMCA.org

5619 DTC Parkway, Suite 500 | Greenwood Village, CO 80111 | P 303.770.3377 | F 303.770.1812