

# LETTER OF REFERENCE

## Chartered Investment Counselor Application

Candidate's name \_\_\_\_\_

is applying for the Chartered Investment Counselor (CIC) designation. Under rules established by the Investment Adviser Association, each CIC candidate must submit three (3) sealed letters of reference from either: (a) persons employed by an IAA member firm (however, no more than one such letter may be from the firm that employs the CIC candidate); (b) persons who have successfully completed the CFA examinations and who currently hold the CFA charter; or (c) clients of the CIC candidate, certifying that the candidate is of good moral character and, to the best of their knowledge, is engaged by a member firm of the Investment Adviser Association in an *eligible occupational position*, as defined in the brochure, entitled "Chartered Investment Counselor Program."

***Please review the "Chartered Investment Counselor" brochure, complete the following questions, sign and seal the letter of reference, and return it to the candidate.***

1. How long have you known the candidate? \_\_\_\_\_
  
2. Are you familiar with the candidate's competence and employment responsibilities?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
3. To the best of your knowledge, is the candidate employed in an *eligible occupational position*, as described in the "Chartered Investment Counselor" brochure?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
4. In your experience, is the candidate a person of good moral character?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  
5. Are you aware of any problems regarding the candidate's professional competence?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, please explain on separate attached page.
  
6. Are you aware of any problems regarding the candidate's character or professional, financial, or business conduct or dealings?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, please explain on separate attached page.

**CERTIFICATION**

I hereby certify that the foregoing statements are, to the best of my knowledge, true and correct.

Print Name \_\_\_\_\_

Original Signature \_\_\_\_\_

Position/Title \_\_\_\_\_

Firm \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Telephone \_\_\_\_\_

Facsimile \_\_\_\_\_

E-mail address \_\_\_\_\_

Date \_\_\_\_\_

Are you a CFA charter holder?      Yes\_\_\_\_\_      No\_\_\_\_\_

Are you a CIC charter holder?      Yes\_\_\_\_\_      No\_\_\_\_\_

***Please sign and seal this letter of reference and return to the candidate.***