



## **CEFEX Registration Guide**

Congratulations on your successful completion of the CEFEX registration process.

Public Database: [www.cefex.org](http://www.cefex.org)

Your organization's accomplishment is published in the directory of Registered Firms on our website: [www.cefex.org/registeredcompanies.aspx](http://www.cefex.org/registeredcompanies.aspx).

### Certificate

The CEFEX Certificate of Registration is provided in both pdf and print format upon initial registration. The registered firm is typically asked to verify the accuracy of the name and address used, by reviewing the on-line certificate, before a print certificate is sent.

A print certificate is only sent at initial registration. Subsequent renewal assessments are evident within the on-line certificate via the "Date of Current Registration". This date should not be more than 12 months from the day when the certificate is viewed.

If you have any questions regarding your certificate, please e-mail [admin@cefex.org](mailto:admin@cefex.org).

### Public Certification Report

This Report is published to you by CEFEX in pdf format, at initial registration and at each renewal. It is a customized summary of the CEFEX certification process which includes your firm's name and address, the date of registration and the name of the Analyst who performed the assessment. It describes the assessment methodology and the Standard which your firm was assessed to. Positive aspects noted by the Analyst during the assessment, may also be included.

This report is intended for your firm to distribute to clients, stakeholders and prospects. It is helpful because it summarizes your firm's accomplishment in a concise and relevant format.

### CEFEX Descriptive Brochures

CEFEX has both pdf and print versions of documents which describe the certification program and registration process. These may be useful in describing your accomplishment to clients and prospects. Please contact [admin@cefex.org](mailto:admin@cefex.org) to request copies.

### CEFEX Certified Firm Profile

The Certified Firm Profile is a communication tool for certified firms, which includes *their* perspective on the benefits of certification and *their* reasons for seeking certification. Profiles can also highlight how specific fiduciary practices are implemented and how investors are better served. The Certified Firm Profile is intended to provide a greater voice for CEFEX firms, by showcasing their prestigious accomplishment in a narrative fashion. You may either have CEFEX produce this – which requires at least one interview with an executive at your firm, or you can write it yourself using the standard format and subject to approval from CEFEX. The fee for the profile is \$500, or \$150 if you write it. Samples of Profiles can be viewed at <http://www.cefex.org/ReleasedMedia.aspx>. Please contact [admin@cefex.org](mailto:admin@cefex.org) to request a Profile.

### Insurance Coverage & Review

Your CEFEX certification qualifies you for exclusive discounts on Error & Omissions Insurance (E&O). In addition, you are eligible for a comprehensive professional insurance review. As you know, it is imperative that you are covered for your role as a fiduciary. Not all E&O policies provide affirmative fiduciary coverage. The comprehensive review will assure that you have the appropriate coverage for your firm.

Reviews and discounts are offered exclusively through North American Professional Liability Insurance Agency, LLC (NAPLIA). For more information contact Tom Schrandt, [toms@naplia.com](mailto:toms@naplia.com), 1-866-386-2544.

### CEFEX Logo

The CEFEX logo is reserved for describing CEFEX, the certification body. It cannot be used on its own, ie. without an accompanying Mark, because CEFEX operates numerous distinct certification programs. For example it is not permitted for a firm to refer to itself as “CEFEX-certified”, without an accompanying Registration Type or Mark, since this can mislead the public.



CEFEX Logo

Registration Types include:

- Investment Advisor
- Investment Manager
- Investment Steward
- Fiduciary Adviser
- Eligible Investment Advice Arrangement

- ASPPA Retirement Plan Service Provider
- Investment Support Services

The following terminology is appropriate:

- “CEFEX-certified as an Investment Advisor”
- “CEFEX-certified Support Services to Investment Fiduciaries”
- “CEFEX Investment Advisor”
- “ASPPA Recordkeeper – certified by CEFEX”
- “Investment Support Services certified by CEFEX”

### Certification Mark

The CEFEX Certification Mark is for both print and on-line use. When the CEFEX Certification Mark is installed on your web-site, it provides a dynamic representation of your certificate to your clients: it is continuously validated (as represented by the current date shown), when clicked it generates a ‘live’ certificate, and when your registration type is clicked, a summary of the Fiduciary Practices are shown. This is an excellent way to communicate your certification.

Please contact [admin@cefex.org](mailto:admin@cefex.org) for instructions on how to install the on-line Certification Mark.



For Investment Fiduciaries



For ASPPA Recordkeepers and Administrators



For Investment Support Services

### Scope (or program):

The scope of registration on a CEFEX certificate is implemented using similar principles to those used by the International Organization for Standardization (ISO). It is shown on your certificate. The scope is an important and necessary element of a registration program because it describes the services addressed in the CEFEX assessment. Clients and prospects of CEFEX-registered firms should carefully review the scope when performing due diligence on a firm.

For increased clarity, it is preferable for a certified firm to include its scope of registration when referring to its certification.

### Using Logo and Mark Together

When the Mark and logo are shown together, the CEFEX logo must be smaller than the certification mark eg.



Logo



Mark

### Extension to “Doing Business As” (DBA)

In some instances it is possible that a certified firm desires extending the use of the certification mark to a DBA. This is permitted as long as the DBA has been identified to the CEFEX Analyst, and documented during the CEFEX assessment. The Analyst is responsible for ensuring that the processes used by the DBA, adhere to the Standard. If the CEFEX Mark is used by the DBA, the DBA must acknowledge its association with the firm registered in the CEFEX public database.

### Terms of Use (excerpt from executed Agreement)

The terms of use for both the Certificate and Mark, are described in the CEFEX assessment agreement, which was executed before the initial assessment.

As a firm registered by CEFEX, you are required:

- a) to conform to the requirements of CEFEX (as described herein) when making reference to your certification status in communication media such as the internet, brochures or advertising, or other documents,
- b) not to make or permit any misleading statement regarding your certification,

- c) not to use or permit the use of a certification document or any part thereof in a misleading manner,
- d) upon suspension or withdrawal of your certification, discontinue use of all advertising matter that contains a reference to certification, as directed by CEFEX
- e) amend all advertising matter when the scope of certification has been reduced,
- f) not to allow reference to your management system certification to be used in such a way as to imply that CEFEX certifies a product (including service) or process,
- g) not to imply that the certification applies to activities that are outside the scope of certification, and
- h) not to use your certification in such a manner that would bring CEFEX and/or the certification system into disrepute and lose public trust.