

CFA® SAMPLE QUESTION – LEVEL I

Ethical and Professional Standards

Q: Bruce Bukhara, CFA, disclosed a complaint by a former client on his annual professional conduct statement. The CFA Institute Professional Conduct Program sent Bruce a Notice of Inquiry and requested a copy of the client Complaint.

Bruce provided a copy of the complaint; however, several parts of the complaint were blacked out. Bruce refused to provide a complete copy of the complaint because it contained confidential client information.

According to the *Standards of Practice Handbook*, Bruce should:

CORRECT ANSWER:

- © **Provide a complete copy of the complaint to the Professional Conduct Program.**



CFA Society Hong Kong
Candidate Services

