



# GIPS® STANDARDS NEWSLETTER

**May 2023 Edition**

## **Register Now! 27th Annual GIPS® Standards Conference**

Join us 17–18 October in Chicago to reconnect with colleagues as industry and regulatory experts discuss the latest trends and challenges in investment performance. This year’s conference will feature sessions on outsourced chief investment officer (OCIO) providers, the SEC Marketing Rule and Private Funds proposal, and outsourcing considerations.

Session details will be announced this summer. Register by 30 June for our best rates.

[Register Now](#)

Is your firm interested in being a conference sponsor? Contact [Jonathan.Gentry@cfainstitute.org](mailto:Jonathan.Gentry@cfainstitute.org).

If you are unable to join us in person but would still like access to the event content, please consider the [Digital Content Package](#).



## **SEC Marketing Rule Developments Webinar**

On 29 June 2023, CFA Institute is offering a complimentary webinar at 12 pm EDT/9 am PDT. Join attorneys from K&L Gates as they discuss recent SEC exam areas of focus related to the Marketing Rule. Topics will include the following:

- SEC examinations—Marketing Rule focus

- Hypothetical performance
- Policies and procedures
- Predecessor performance
- Substantiation requirement
- Current state for calculating investment-level net performance in response to the January 2023 FAQ

[Register for Webinar](#)

## **Annual GIPS Compliance Notification Form Deadline Is 30 June 2023**

Organizations that claim compliance with the GIPS standards are required to notify CFA Institute of their claim of compliance by submitting a GIPS Compliance Notification Form. Organizations that are newly claiming compliance with the GIPS standards must submit the GIPS Compliance Notification Form before publicly claiming compliance. Once an organization claims compliance, it must submit an updated GIPS Compliance Notification Form annually, between 1 January and 30 June of each year. Required information includes the name of the organization, contact details for a primary and secondary contact, and whether or not the organization has been verified within the past 24 months. Answers to other questions, including types of portfolios managed and total assets that are managed, are optional.

Organizations submitting a GIPS Compliance Notification Form for the first time should use the [Initial Form link](#). Organizations submitting an annual update should use the [Update Form link](#).

To begin the annual update process, enter your organization's name and one individual's contact information from the prior year's form. A link to the form will be emailed to this contact, who can then update the information.

If you receive an error message or both contacts listed on the previous form are no longer with your organization, please email us at [gipscompliance@cfainstitute.org](mailto:gipscompliance@cfainstitute.org), and we will assist you.

## **Annual Asset Manager Code Compliance Notification Form Deadline Is 30 June 2023**

Many organizations that claim compliance with the GIPS standards also claim compliance with the Asset Manager Code™ (AMC). Organizations that claim compliance with the AMC are also required to notify CFA Institute annually, similar to the GIPS standards annual notification process. Notification forms are due 30 June 2023. Firms and asset owners can find the AMC Compliance Notification Form on the CFA Institute website.

Organizations submitting an AMC Compliance Notification Form for the first time

should use the [Initial Form link](#). Organizations submitting an annual update should use the [Update Form link](#).

To begin the annual update process, enter your organization's name and one individual's contact information from the prior year's form. A link to the form will be emailed to this contact, who can then update the information.

If you receive an error message or both contacts listed on the previous form are no longer with your organization, please email us at [industrystandards@cfainstitute.org](mailto:industrystandards@cfainstitute.org), and we will assist you.

## **Elevate Your Performance Evaluation Skills with Data Science Knowledge**

The new [Data Science for Investment Professionals Certificate](#) is an online learning program designed to provide you with practical knowledge of machine learning fundamentals and their uses in the investment process. You will study how to apply machine learning concepts to real-world investment problems and explain them clearly to a non-expert audience and clients. The content is hands-on and application oriented, and it includes instructional videos, coding labs, and case studies from industry practitioners.

CIPM certificate holders and other performance professionals will find that combining their investment performance skills with an understanding of data science and machine learning techniques is an excellent way to expand the effectiveness and efficiency of performance evaluation and attribution methods. We invite you to find out more about [the new certificate here](#). Member pricing is available.

A promotional banner with a dark blue background and a white and light blue geometric pattern of squares on the right side. The text is white and reads: "AVAILABLE NOW: Data Science for Investment Professionals Certificate" in large, bold letters. Below this is a white button with the text "GET DETAILS". At the bottom left, in small white text, it says "© 2023 CFA Institute. All rights reserved." data-bbox="132 566 868 708"/>

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## **2023–2024 Renewal Season for CFA Institute Members Is Here**

CFA Institute members—stay current and competitive in the ever-changing world of finance, retain access to your [benefits](#), and connect with other CFA Institute members who live and work across the world. Log into your account at [cfainstitute.org](https://cfainstitute.org) and take action today.

And, to help us stay current and competitive, members should have received an email invitation to participate in a survey. We want you to tell us what we can do to continue to enhance your benefits and experience. Please take a few minutes to

complete the survey.

## **Charterholder status elevates you.**

Retain your CFA credentials. Refresh your member benefits.

**Renew your charter today.**

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