



## INTELLECTUAL PROPERTY POLICY

CAIAA owns or has rights to the following marks (collectively, the “CAIA Marks”):

- CAIA®
- Chartered Alternative Investment Analyst
- CAIA Association®
- Chartered Alternative Investment Analyst Association®
- The CAIA Association logo shown above
- UniFi
- UniFi by CAIA
- The UniFi by CAIA Logo as shown above
- Fundamentals of Alternative Investments®
- Fundamentals of Alternative Investment logo as shown above
- Think Like an Allocator
- Portfolio For the Future

The CAIA Marks fall into three categories: service marks, certification marks and collective membership marks. The Service Marks are for use by the Association, while the Certification and Collective marks are for use by our *Members*.

### Limited right of Members to use the CAIA Certification and Collective Marks

Subject to the terms of this Intellectual Property Policy, CAIAA grants the right to use the CAIA Certification and Collective Marks to those individuals who have been granted the status of either Full Member or Retired Member by CAIAA. Only individuals who have been granted such status (each such individual is hereinafter referred to as a “Member,” and such status as “Membership”), but not those individuals who have been granted only the status of Affiliate Member, may use the CAIA Certification and Collective Marks.

If CAIAA revokes a Member’s Membership for any reason, or if such Membership is otherwise lapsed, including for failure to pay any Membership dues when the same are due (such Member, a “Lapsed Member”), any right to use any CAIA Marks shall be automatically and immediately revoked without any obligation on behalf of CAIAA to notify such Lapsed Member of such revocation. If the Lapsed Member fails to (1) cease using all of any CAIA Marks within sixty (60) days of such revocation, then the Lapsed Member shall indemnify and hold harmless CAIAA for all costs incurred, including but not limited to attorney’s fees and costs, in obtaining the Lapsed Member’s compliance with the terms of this Intellectual Property Policy.

The examples set forth below are intended to illustrate proper use of the CAIA Marks. Any questions regarding proper use of the CAIA Marks should be directed to CAIAA staff by e-mail at [member@caia.org](mailto:member@caia.org).

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The CAIA Marks are recognized symbols of the education and expertise that distinguish the Members from other investment professionals. If the CAIA Marks are used improperly, CAIAA may lose its rights to them. Each Member shall report any suspected improper use of the CAIA Marks to CAIAA.

## I. Certification Marks

- CAIA®
- Chartered Alternative Investment Analyst

### Purpose

CAIAA's certification marks have a very specific and limited purpose: they indicate that the Member using them has passed all of CAIAA's required examinations and has been granted Membership by CAIAA. These certification marks are a critical means of assuring the public that it can always expect a high level of training and expertise when the CAIA® and Chartered Alternative Investment Analyst designations are used.

### Proper Use

The certification marks are typically used after the Member's name. For example:

- Adam Roberts, CAIA®  
-OR
- Adam Roberts, CAIA
- Jane Smith, Chartered Alternative Investment Analyst

## II. Collective Membership Marks

- CAIA Association®
- Chartered Alternative Investment Analyst Association®

### Purpose

The purpose of the collective membership marks is very similar to that of the certification marks above: to assure the public that the person using the collective membership marks is a Member in good standing of CAIAA.

### Proper Use

The collective membership marks must be preceded by the words "Full Member" or "Retired Member" and come after the Member's name. The ® symbol should be placed in close proximity to the collective membership marks wherever they appear (e.g., on business cards and website advertisements). For example:

- Jane Smith, Full Member, CAIA Association®
- Adam Roberts, Retired Member, Chartered Alternative Investment Analyst Association®

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### III. Service Marks

- CAIA<sup>SM</sup>
- CAIA Association<sup>SM</sup>
- Chartered Alternative Investment Analyst Association<sup>SM</sup>
- The CAIA Association Logo shown above
- UNIFI
- UNIFI BY CAIA
- The UNIFI BY CAIA Logo
- THINK LIKE AN ALLOCATOR
- PORTFOLIO FOR THE FUTURE
- Fundamental of Alternative Investments
- Fundamental of Alternative Investments logo

#### Purpose

The service marks are intended for use only by CAIAA itself to identify itself and its programs, in contrast to the certification and collective membership marks, which are used exclusively by Members. The circumstances when a Member might use the service marks instead of the certification marks or collective membership marks are extremely rare and Members should avoid using any CAIA Marks other than the certification and collective membership marks as described above.

#### Proper Use

The service marks are to be used by CAIAA in its own materials when referring to its educational and other services, but not to refer to the Designation.

An example of proper use of the service marks is as follows:

- CAIA Association<sup>SM</sup> is the world leader in alternative investment education.

### III. General Rules for Proper Use of All CAIA Marks

#### A. Avoid Generic Uses

The CAIA Marks must not be used as generic terms – i.e., as a common name for a category of products or services. In particular, the abbreviation CAIA should never be used as a noun. Reference to all alternative investment analysts as “CAIAs” would be improper and would lead to that mark becoming generic and losing all of its value, similar to what has happened with “thermos” and “escalator”. If the use becomes generic, both CAIAA and its Members will lose their exclusive right to use these valuable service marks.

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## Improper Use

Examples of improper use of the CAIA Marks are as follows:

- Adam Roberts is a CAIA.
- Adam Roberts and Jane Smith are CAIAs.

### B. Use Correct Symbols & Notices

Only use the ® and <sup>SM</sup> symbols as shown in the examples above. In particular, misuse of the ® symbol can lead to legal difficulties in some jurisdictions, so do not use the ® symbol except as specifically illustrated in this Policy.

In the text of documents where the repeated use of the ® or <sup>SM</sup> symbols may not be desirable or practical, then the first and most prominent use of a CAIA Mark should include the appropriate symbol. Subsequent uses on the same document or page need not feature a trademark symbol but consider using boldface or italics as another means of distinguishing the mark.

The Chartered Alternative Investment Analyst Association® and CAIA Association® marks are federally registered; thus, the federal symbol (®) must be used with these marks wherever they appear.

It must always be specified in a tag line at the end of an article and at the bottom of an advertisement or promotional literature that the CAIA Marks are the property of CAIA Association; for example:

- The CAIA Association Logo is a registered service mark and CAIA<sup>SM</sup> is a service mark owned by CAIA Association.
- CAIA® is a registered certification mark owned and administered by the Chartered Alternative Investment Analyst Association.

### C. Use Proper Capitalization

The abbreviation CAIA must always appear in all capital letters. This rule applies even if you have chosen an all-lowercase design for your letterhead or business cards; there are no exceptions. With respect to the Chartered Alternative Investment Analyst<sup>SM</sup> and Chartered Alternative Investment Analyst Association® marks, the first letter of each word must always be capitalized.

Examples of proper use of the collective and certification marks are as follows:

- Adam Roberts, CAIA®  
-OR
- Adam Roberts, CAIA®
- Adam Roberts, Chartered Alternative Investment Analyst

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Examples of improper use of the service marks are as follows:

- Jane Smith, caia®
- -OR
- Jane Smith, caia®
- Jane Smith is a chartered alternative investment analyst.

#### **D. No Alterations**

The form of the CAIA Marks must never be altered to create a new word, phrase, or design, and they must never be used in the plural or possessive forms.

Examples of improper use of the CAIA Marks are as follows:

- Jane Smith, Chartered Analyst in Investing Alternatives
- Adam Roberts, Chartered Alternative International Investing Analyst
- Adam Roberts holds a certificate in Chartered Alternative Investing Analysis.

The CAIA Marks must not be used as part of, or incorporated in, the name of a company or imply that the company is entitled to use the CAIA Marks. Additionally, the CAIA Marks may not be used in a Member's e-mail address or in a personal or company domain name. These designations apply only to individuals.

Examples of improper use of the CAIA Marks in company names and domain names are as follows:

- Jane Smith, Inc., Chartered Alternative Investment Analyst
- Jane Smith CAIA, Inc.
- adamrobertscaia.com

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