

Application for CAI's Association Management Specialist (AMS) Designation



FOR OFFICIAL USE ONLY

FEE	MEMBERSHIP	TRANSCRIPTS	CERTIFICATION	EMPLOYMENT	CODE

CAI Association Management Specialist® (AMS®) Designation

What is the AMS designation?

The AMS designation is the second tier in Community Associations Institute's career development program. Community association managers who display the AMS designation demonstrate a commitment to their career and the community association industry. An AMS designation is recommended for managers who want to increase their knowledge and expertise and who may not yet be ready to devote the time and expense required to obtain a Professional Community Association Manager® (PCAM®) designation.

What are the prerequisites for the AMS designation?

- Two (2) years verified experience in financial, administrative, and facilities management of at least one association
- Successful completion of the M-100 course: *The Essentials of Community Association Management* (can be taken as a classroom seminar or home study course on-line or home study manual format)
- Successfully complete at least one PMDP M-200 series course (M-201–M-206)
- Earn and maintain the CMCA® certification
- Completion of the application forms
- Submission of the application fee. Member: \$150 (Individual Manager Membership), Non-member: \$250

How do you pursue the AMS designation?

1. Obtain the application from your chapter or the national office
 - a. Complete and sign the application for AMS designation.
 - b. Have a **board member or community association leader** verify your experience by signing the Management Service Verification form.
 - c. Read, sign, and have notarized the CAI Professional Manager Code of Ethics.
 - d. Attach the certificate of completion from the M-100 course: *The Essentials of Community Association Management*.

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- e. Attach the certificate of completion from a PMDP M-200 series course (M-201–M-206)
 - f. Attach a copy of your CMCA certificate or ID card.
 - g. Submit the AMS application fee.
2. Send all of the above items to CAI, 225 Reinekers Lane, Suite 300, Alexandria, VA 22314, Attention: Designations Department.

What happens after the designation is earned?

AMS designees are required to redesignate every three years. Redesignations occur in the month of August, regardless of the month in which AMS designees are initially designated. To renew the AMS designation, you are required to complete at least one PMDP course plus eight other hours of continuing education. AMS designees must: use the designation trademark correctly, pay an annual maintenance fee, and adhere to CAI's Professional Manager Code of Ethics.

Should you have any questions, or need assistance in filling out the application, please contact CAI at (888) 224-4321.

Application for AMS[®] Designation

Please complete and return this application along with all requested supporting materials to CAI, Designations Department, 225 Reinekers Lane, Suite 300, Alexandria VA 22314. Phone (703) 548-8600. YOU MUST SUBMIT ALL REQUESTED MATERIAL WITH THIS APPLICATION.

1. **Code of Ethics.** Sign and return one original copy of the CAI Professional Manager Code of Ethics. Please note that the Code of Ethics must be notarized. If employed by a management company, please have an officer of the firm also sign the Code where indicated.
2. **Experience Verification.** Return an executed and completed original of one or more Management Service Verification form(s) as needed. A MINIMUM of TWO COMPLETE YEARS of association management experience is required before this application may be submitted.
3. **Education Requirement.** Complete the following information for the M-100 course and the M-200 series you have successfully completed and provide a photocopy of your completion certificates.

Please type or print the following information

Complete the following information for the M-100 course you have successfully completed and provide a photocopy of your completion certificate. (Please type or print the following information)

Seminar location _____ Date completed _____

Home study date of completion _____

Complete the following information for the M-200 series course you have successfully completed and provide a photocopy of your completion certificate. (Please type or print the following information)

M-200 series course name: _____

Seminar location _____ Date completed _____

Complete the following information for the CMCA[®] certification you have successfully completed and provide a photocopy of your certificate or ID card.

CMCA certification awarded ____/____/____ CMCA Renewal Date: _____

CMCA certificate number _____ CMCA is currently active: Yes No

continued

Payment of AMS Fee. Please remit a *non-refundable application fee* to CAI with this application.

- Member: \$150 (Individual manager membership) Non-member: \$250
 Check enclosed (made payable to CAI) Visa MasterCard AmEx Discover
Card number _____ Exp. date _____
Signature _____
Name on card _____

Applicant Information.

- Please indicate if this is an address change

Name _____

CAI Individual Manager Membership no. _____
(Must be provided for member application rate)

Home Address _____

City/State/Zip _____

Home Phone _____ Home Fax _____

E-mail Address _____

CAI Chapter Affiliation _____

Information regarding your employing company or association:

Company/Association name _____

Address _____

City/State/Zip _____

Phone _____ Fax _____

E-mail Address _____

I certify that the information presented above and the accompanying material are, to the best of my knowledge, true and correct.

Applicant's signature _____

Date _____

Management Service Verification Form

Part I: To be filled out by Applicant (Please print)

Name _____
Firm (if applicable) _____
Name of Association _____
Address _____
City/State/Zip _____
Applicant provided service from:
Start date (month, year) ____/____/____ to end date (month, year) ____/____/____

Part II: To be filled out by Community Association Leader (Please print)

The applicant is a participant in a national education program for Community Associations Institute (CAI). This form is necessary for the applicant to provide independent evidence that he or she provided satisfactory management service to your community association. Please complete the items below and return to the applicant. We sincerely appreciate your assistance.

Your name _____
Signature _____
Phone number _____
Office(s) held while the applicant served as manager _____

Part III: To be filled out by Community Association Leader

Please initial those services below which you know were performed by the applicant for your association:

- ___ Development or assisting in development of a budget
- ___ Bidding for, purchasing, or evaluating insurance policies
- ___ Supervision of association contractors or employees
- ___ Review and use of association financial statements
- ___ Preparation of association-related reports and correspondence
- ___ Conducting and performing follow-up of site inspections

Please comment if the above services are not relevant to your community:

Signed _____ Date _____

COMMUNITY ASSOCIATIONS INSTITUTE PROFESSIONAL MANAGER CODE OF ETHICS

The Manager Shall:

1. Comply with current bylaws, standards and practices as may be established from time to time by CAI subject to all federal, state and local laws, ordinances, and regulations in effect where the Manager practices.
2. Participate in continuing professional education through CAI and other industry related organizations.
3. Act in the best interests of the client; refrain from making inaccurate or misleading representations or statements; not knowingly misrepresent facts to benefit the Manager.
4. Undertake only those engagements that they can reasonably expect to perform with professional competence.
5. Exercise due care and perform planning and supervision as specified in the written management agreement, job description or duly adopted Board policies.
6. Disclose all relationships in writing to the client regarding any actual, potential or perceived conflict of interest between the Manager and other vendors. The Manager shall take all necessary steps to avoid any perception of favoritism or impropriety during the vendor selection process and negotiation of any contracts.
7. Provide written disclosure of any compensation, gratuity or other form of remuneration from individuals or companies who act or may act on behalf of the client.
8. Insure that homeowners receive timely notice as required by state statutes or legal documents and protect their right of appeal.
9. Disclose to the client the extent of fidelity or other contractually required insurance carried on behalf of the Manager and/or client and any subsequent changes in coverage, which occur during the Manager's engagement if the amount is lower than the contract amount requires.
10. See that the funds held for the client by the Manager are in separate accounts, are not misappropriated, and are returned to the client at the end of the Manager's engagement; Prepare and furnish to the client accurate and timely financial reports in accordance with the terms of the management agreement, job description or duly adopted Board policies.
11. Recognize the original records, files and books held by the Manager are the property of the client to be returned to the client at the end of the Manager's engagement; maintain the duty of confidentiality to all current and former clients.
12. Refrain from criticizing competitors or their business practices; Act in the best interests of their Employers; Maintain a professional relationship with our peers and industry related professionals.
13. Conduct themselves in a professional manner at all times when acting in the scope of their employment.
14. Not engage in any form of price fixing, anti-trust, or anti-competition.
15. Not use the work products of colleagues or competing management firms that are considered proprietary without the expressed written permission of the author or the management firm.

Compliance with the Professional Manager Code of Ethics is further amplified in the Code Clarification Document provided by Community Associations Institute.

Last revised September 2006

CODE CLARIFICATION DOCUMENT

A. Authority

The Code derives its authority from the Community Associations Institute (CAI). CAI's Board of Trustees has established a minimum standard of professional ethical performance for those individuals who receive recognition or designations from CAI.

Those individuals or entities that have received professional designations from CAI are subject to this Code. Those designations include: PCAM®, AMS®, LSM®, and AAMC®.

B. Definitions

The Code shall apply in any manager-client relationship where the Manager receives some form of compensation for professional services offered or provided to the client.

1. **Manager**—a singular term which shall apply to all of the following persons or entities providing or offering some form of property or financial or administrative or consulting services to one or more clients:
 - a. A single practitioner functioning as a client employee, or
 - b. A single practitioner employed by a firm contracted by one or more clients, or
 - c. A principal or supervisory staff member for a firm which is contracted by one or more clients, or
 - d. A firm, which is contracted by one or more clients, whether it is organized as a corporation, partnership, or other entity.

Because the Code is designed to establish a standard of conduct for the practice of managing community associations, it is equally applicable to individuals and firms. An individual who agrees to abide by this Code shall also be responsible to see that any other person or firm under his/her supervision shall comply with the Code.

2. **Client**—a singular term applying to one or more community association properties (condominium, homeowner association, cooperative, PUD, PRD, etc.) and their governing body. The client may employ the Manager directly or be under some form of independent contract with the Manager.

C. Amplification

CAI to further explain and define the Code of Ethics provides the following information.

The following explanations correspond to the numbered paragraphs in the Professional Manager Code of Ethics:

1. ***Current standards or practices*** are those numbered one through fifteen in the Code. Managers who practice in states with legislative requirements must comply with those laws. Managers shall not discriminate in any relationship, with any individual or firm, based upon race, color, religion, sex, national origin, familial status, or handicap and shall comply with all federal, state and local laws concerning discrimination. Managers shall not engage in any form of price fixing, anti-trust, or anti-competition with other Managers or Vendors.
2. ***Continuing professional education*** requirements are consistent with that Manager's designation. While CAI membership is not mandatory, the Manager must satisfy the designation requirement in order to use said designation. Additionally the Manager has a duty to remain informed on relevant matters affecting the industry.
3. ***Act in the best interests of the client; Not make any inaccurate or misleading representations or statements to a prospective client; Not knowingly misrepresent facts to benefit the Manager;*** the manager has a fiduciary duty/responsibility to the client and should at all times act in the best interests of the client. Managers should avoid exaggeration, misrepresentation, concealment, and knowingly distributing misinformation.
4. ***Undertake only those engagements that they can reasonably expect to perform with professional competence;*** the Manager shall provide accurate information within his area of expertise and refrain from the unauthorized practice of other professions. No manager should provide any service or advice that is outside his or her field of competence which includes dispensing of professional advice that falls under the auspices of other disciplines such as legal representatives, engineers and contractors.
5. ***Exercise due care and exhibit planning and supervision as specified in the written management agreement, job description, or duly adopted Board policies.*** The intent of this statement is for the Manager to make a good faith effort to operate within the framework of the applicable employment/agent relationship and to abide by the terms of said agreement. Any failure of the Manager to fully comply with this requirement shall not be considered relevant unless the failure is material and/or willful.
6. ***Disclosure of any possible conflict of interest*** is the key here. An example may be of assistance. A Manager (individually or through a company) may have financial interest in a service contractor, supplier, or professional firm that is being considered by that Manager's client. Disclosure must be in writing and sufficiently in advance of the selection process to allow full consideration of the possible conflicts and any alternatives. The fact that the client may still choose the Manager's related entity is not a violation of the Code, provided ample disclosure was given.
7. ***Provide written disclosure to the client of any compensation, gratuity or other form of remuneration from individuals or companies who act or may act on behalf of the client.*** Written disclosure shall be made to the client by the Manager, confirming receipt of all commissions, rebates, discounts, payments, or other benefits received in excess of \$200.00 annually by the Manager from any vendor or vendor related client.
8. CAI recognizes that ***insuring that homeowners have timely notice or that their appeal rights are protected*** is limited by the extent that the Manager can influence his or her client. Thus, a Manager who makes reasonable efforts to properly advise the client has complied with this standard, even if the client chooses to reject the Manager's advice.
9. ***Disclose to the client the extent of fidelity or other contractually required insurance carried on behalf of the Manager and/or client and any subsequent changes in coverage, which occur during the Manager's engagement if the amount is lower than the contract amount requires.*** This standard does not require the Manager to carry fidelity insurance unless an AAMC company or required by the contract. The change is based upon any decrease in contractually disclosed/required coverage and/or fidelity bond coverage.

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10. If the Manager is responsible for *handling funds* for a client, that client must have at least one, independent cash account. This standard does not preclude a Manager from initially depositing payments into a central account with funds promptly distributed to individual client accounts, nor does it prohibit a central disbursement or payroll account that is promptly reimbursed by each client's individual cash account. When a Manager's engagement has ended for a client, all funds must be returned to the client the earlier of:
- the time limit under state statute, or
 - the time limit in the existing management agreement, or
 - within 30 days of the end of the Manager's engagement (see also #12)

The Manager shall prepare and furnish to the client accurate and timely financial reports in accordance with the terms of the management agreement, job description or duly adopted Board policies.

11. *Original records, files, and books* are those items that were given to the Manager at the beginning of his or her engagement or were developed by the Manager and/or the client during the period of the Manager's engagement. This definition may be further expanded by the management agreement. Unless provided in such an agreement or otherwise, the Manager has no obligation to provide the client with client-related computerized data unless the client owns the computer and software and such data can be separated from that data and software which are proprietary to the Manager. For example, if the Manager is a company that maintains homeowner information on its central computer, the Manager shall provide a printout of the homeowner information for the client, but need not provide that data via disk or tape. Those items that the Manager brought to and used during the engagement, such as operation or procedure manuals, remain the property of the Manager.

While the Manager must turn over all records, files, and books, he or she may retain photocopies of those key materials that might be necessary for the Manager in dealing with post-engagement client-related matters. Return of these items should be consistent with the schedule outlined in #10 above. The Manager shall maintain a *duty of confidentiality to all current and former clients*, commencing the effective start date of the relationship and continuing through infinity.

12. *Refrain from criticizing competitors or their business practices; Act in the best interests of their Employers; Maintain a professional relationship with our peers and industry related professionals.*
13. Shall conduct themselves in a professional manner when acting in the scope of their employment. Self-explanatory.
14. Subject to all Federal, State and Local statutes, laws and ordinances.
15. Work products that are posted on the internet, e-mailed, presented as part of an education session or industry related networking exchange are not considered proprietary unless they are clearly labeled as proprietary documents or subject to further protection under the copyright or registration. Lists of clients along with their contact and confidential contract information that are maintained by a Management Company are considered proprietary.

D. Future

The Board of Trustees may expand application of this Code, and CAI reserves the right to update, or amend both the Professional Manager Code of Ethics and the Code Clarification Document. Any such revision, updating or amendment shall be promptly promulgated to CAI Manager members and, after due notice, will apply to all members subject to the Code.

E. Disciplinary Action

After an internal investigation and hearing as provided in CAI's Ethics Enforcement Procedures Policy, a Manager found to be in violation of this Code shall face a sanction in accordance with the enforcement policies adopted by the CAI Board of Trustees. The extent of such sanction shall be commensurate with the nature, severity, and intent of the violation. In a situation where a firm, principal(s) or supervisory staff are involved, sanctions may be imposed on more than one individual or the firm itself.

Please answer the following questions.

Have you ever been involved in reorganization for the benefit of creditors or in bankruptcy as a debtor? *If yes, attach a detailed explanation.* Yes No

Have you ever been convicted of a felony or misdemeanor, or imprisoned under sentence for any felony or misdemeanor (except traffic violations) in the last ten years? *If yes, attach a detailed explanation.* Yes No

Have you ever been convicted of fraud, misrepresentation, misappropriation of funds or property? *If yes, attach a detailed explanation.* Yes No

Do you know of any reason why you would be unable to obtain bonding? *If yes, attach a detailed explanation.* Yes No

Have you ever been subject to disciplinary action by any professional organization? *If yes, attach a detailed explanation.* Yes No

F. Signature

By signing below, I agree to abide by the CAI Professional Manager Code of Ethics and to be subject to disciplinary action as adopted by the Board of Trustees. All of the information provided by me is complete and correct to the best of my knowledge and belief. If I made or at any time make statements with knowledge of its falsity, I understand that it shall be cause for denial or revocation of the designation.

PRINTED NAME

SIGNATURE

FIRM NAME (IF EMPLOYED BY A FIRM OR ARE A PRINCIPAL OR SUPERVISORY STAFF MEMBER OF THE FIRM)

PRINTED NAME AND SIGNATURE OF AN OFFICER OF THAT FIRM, IF APPLICABLE

Acknowledged before me on this day:

NOTARY SIGNATURE

NOTARY COMMISSION EXPIRATION DATE



225 Reinekers Lane, Suite 300
Alexandria, VA 22314
www.caionline.org