



Professional Code of Ethics Complaint Form

OVERVIEW

The CAI Professional Code of Ethics is a set of guidelines that credentialed community association professionals and management companies must adhere to. It ensures the highest level of competencies, ethics, and integrity among professionals in the community association housing model. There is a Professional Code of Ethics for community association professionals who have earned and maintained the following:

- Association Management Specialist® (AMS®)
- Professional Community Association Manager® (PCAM®)
- Large-Scale Community Manager® (LSM®)
- Reserve Specialist® (RS®)
- Certified Insurance & Risk Management Specialist® (CIRMS®)
- Accredited Association Management Company® (AAMC®)

If you believe an individual or management company holding an active CAI credential has violated the code of ethics, you may file a complaint using this form.

CAI credentials are voluntarily earned and maintained by community association professionals and management companies. An individual or management company holding an active CAI credential has committed to upholding the Professional Code of Ethics.

The allegations made will be taken seriously and could affect the career of the accused. It is expected that you have attempted to work out any conflict you have with the individual (or the company) prior to initiating the complaint.

If the allegation is criminal in nature (i.e., theft, embezzlement) appropriate authorities should be notified and information on the submission or outcome should be included with this form. A review of the complaint may be suspended until judgment has been issued by a court or other authorities.

INSTRUCTIONS AND REQUIREMENTS

1. **Review the Code of Ethics:** Before filing a complaint, make sure to review the CAI Code of Ethics to understand the ethical standards that specifically apply to the allegations within your complaint.
2. **Find out if the individual or company in question holds a CAI designation and/or accreditation by visiting the [CAI Directory of Credentialed Professionals](https://www.caionline.org/credentials) –**
3. **[Download and complete the form](#):** Download the complaint form and fill it out with all the required information.
 - A. Type or print each field requested below clearly, including Complainant's name, address, e-mail address, telephone number, signed and dated.

- B. Be sure to clearly identify the article or code that you believe has been violated.
 - C. All areas of the form must be completed. If an area is to be left blank, enter the word "None" or "Not Applicable" so that it is clear to the committee that the part was not missed. **Provide supporting evidence:** Compile a narrative summary of the events leading to the alleged violation and gather supporting documentation which can prove wrongdoing for each allegation. Clearly label and mark each document as an exhibit.
- 4. Ensure proper documentation:** Make sure that the supporting evidence clearly points to the ethics standard being violated. Include any relevant letters, emails, financial statements, or other correspondence that support your allegations.
- 5. Submit the complaint:**
- A. If you are collaborating with others in this complaint, only submit one complaint form. If complaints are received from multiple people submitting the same complaint that have the appearance of having been in collaboration, only one submission will be considered.
 - B. If the Complaint is filed by a community association, the Board of Directors of that association must attach an approved and witnessed Resolution indicating a majority of the Board members approved the filing of the Complaint.
 - C. If the Complaint is filed by a member of the Designation Ethics Committee or the Committee itself, section 1.a.-d of the Code of Ethics Enforcement Procedures is not a prerequisite of the complaint filing.
- 6. Formatting the complaint:**
- A. The complaint document should be submitted in one Adobe Acrobat PDF format with a table of contents providing links and bookmarks organizing the content within the document.
- 7. Legal action and authorities:** If you have commenced legal action against the individual or company or have notified any authorities in connection with your complaint, include supporting letter (s) you may have from the Attorney, Board of Directors, etc. to this submission.

To facilitate the processing of this complaint, please be as thorough and accurate in the submission of information and requested/required documents. Complaints that contain the correct documents when submitted enable the Ethics Committee and CAI Staff to abide by the prescribed procedures.

1. COMPLAINANT(S): Please enter your personal information:

Name(s): _____

Mailing Address: _____

City, State, Zip: _____

Preferred Telephone Contact Number(s): work/home: _____

Cell Phone: _____ Email Address: _____

Relationship to the Accused Designee: _____

2. RESPONDENT: Please enter the contact information of the accused designee:

Names: _____ Designation: _____

Company: _____

Mailing Address: _____

City, State, Zip: _____

Phone: _____ Email Addresses: _____

3. SECTION OF THE PROFESSIONAL CODE OF ETHICS ALLEGEDLY VIOLATED

Please refer to the section(s) of the CAI Professional Code of Ethics and the list below of which components you allege have been violated. _____

4. NARRATIVE SUMMARY

Please attach a written account of the events leading to the alleged violation. (*Complaints submitted without the attached summary will be returned to the Complainant.*)

5. STATEMENT OF FACTS SUPPORTING ALLEGED VIOLATION(S)

Please be as concise as possible. You must include supporting documentation for each allegation, clearly labeled and marked as an Exhibit listed below. Supporting documents may governing documents, covenants, By-laws, Financial Statements, letters, emails, and other correspondence.

Exhibit 1. _____

Exhibit 2. _____

Exhibit 3. _____

Exhibit 4. _____

Exhibit 5. _____

Exhibit 6. _____

Exhibit 7. _____

If additional Exhibits are included in the Complaint package, please mark/label them accordingly.

- **Have you commenced legal action against this individual or company?** _____

If yes, please provide details: _____

- **Have you notified any authorities in connection with your complaint?** _____

If yes, please provide details: _____

6. SIGNATURE: _____ **Date:** _____

Printed Name: _____

Please submit the completed form in one Adobe PDF document with all supporting materials electronically to government@caionline.org or send the completed form to:

Community Association Institute
Attn: CAI Designation Ethics Confidential Complaint
6402 Arlington Boulevard, Suite 500
Falls Church, VA 22042 CAI

For more information on CAI credentialing programs or for a current copy of the Professional Code of Ethics and the Code of Ethics Enforcement Procedures, please visit:

www.caionline.org/credentials