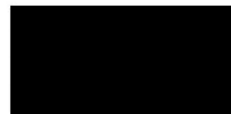




CFA Institute



17 June 2020

**PERSONAL AND CONFIDENTIAL**

Via FEDEX and EMAIL: [REDACTED]

Amy M. Cooper, CFA  
[REDACTED]

**Notice of Investigation**

Dear Ms. Cooper:

This letter is to notify you that Professional Conduct has opened an investigation into the incident in Central Park that resulted in the termination of your employment at Franklin Templeton to determine whether there were any violations of the CFA Institute Code of Ethics and Standards of Professional Conduct. Pursuant to that investigation, we request that you provide the following documents and information *within 10 days of the date of this letter*:

- 1) At the time of the incident in Central Park, did you have a written employment contract with Franklin Templeton? If so, please provide a copy. (You may redact any confidential personal information such as your social security number, account numbers, etc.);
- 2) During your employment at Franklin Templeton, did you receive any written complaints or warnings? If "yes," please provide copies;
- 3) Please produce copies of all documents and correspondence (including emails) exchanged between you (or your attorneys) and *Franklin Templeton* regarding the incident in Central Park and/or your termination;
- 4) Provide copies of all firm policies, procedures, codes, and/or standards mentioned or cited by Franklin Templeton in connection with the incident in Central Park and/or your termination;
- 5) Please produce copies of all documents and correspondence (including emails) exchanged between you (including your attorneys) and *any criminal or government authorities* regarding the incident in Central Park and/or your termination of employment;
- 6) Please provide a current email address where you can be reached. If this address (or any of your other contact information) changes during this investigation, you must log into your account at [www.cfainstitute.org](http://www.cfainstitute.org) and make the necessary updates as soon as possible. Because of security restrictions, Professional Conduct cannot change this information on your behalf—you must make all changes through your CFA Institute account; and



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- 7) Please feel free to provide any additional documents or information that you believe would be relevant or useful in our investigation.

Before you become subject to a confidential settlement agreement or protective order regarding any matter we are investigating, you must request a “carve out” provision that provides us with access to the agreement and any documents or information we may need in connection with our investigation.

Finally, please note that our investigation, and any resulting disciplinary proceeding, will be governed by the 2017 Rules of Procedure: Matters Related to Professional Conduct. Additional information concerning our investigative process and copies of the Code and Standards, Bylaws, and Rules of Procedure may be found at: [Professional Conduct Program](#).

If you have any questions about this letter, please contact me at [REDACTED]

Sincerely,

*Jeffrey K. Stith*

Jeffrey K. Stith  
Head, Enforcement  
Professional Conduct