

PUTTING CLIENTS INTERESTS FIRST

The Seven Fiduciary Principles

_____ believes in placing your best interests first. Therefore, we are proud to commit to the following seven fiduciary principles:

1. We will always put your best interests first.
2. We will act with prudence; that is, with the skill, care, diligence, good judgment and utmost good faith.
3. We will not mislead you and we will provide conspicuous, full and fair disclosure of all important and material facts.
4. We will avoid conflicts of interest.
5. We will fully disclose and fairly manage, in your favor, any unavoidable conflicts.
6. We will attempt to minimize investment expenses where possible.
7. We will not sell products or earn commissions.

Advisor: _____

Firm Affiliation: _____

Date: _____