

Standard 6: Conflicts of Interest

- Employees must make full and fair disclosure of all matters that could reasonably be expected to impair their independence and objectivity or interfere with respective duties to their clients, prospective clients, and employer.
- Investment transactions for clients and employers must always have priority over those of an employee or which an employee has beneficial interest.
- Referral fees, compensation or other benefits received by employees for the recommendation of products or services must be disclosed to employers, clients or prospective clients.
- No use of material non-public (insider) information
- Fair, accurate, and complete presentation of investment performance record