

# Fiduciary Oath

The advisor shall exercise his/her best efforts to act in good faith and in the best interests of the client, upholding the fiduciary standard, even if that interest is in conflict with the advisor's financial interest.

The advisor shall provide written disclosure to the client prior to the engagement of the advisor, and thereafter throughout the term of the engagement, of any conflicts of interest, which will or reasonably may compromise the impartiality or independence of the advisor.

The advisor, or any party in which the advisor has a financial interest, does not receive any compensation or other remuneration that is contingent on any client's purchase or sale of a financial product.

The advisor does not receive a fee or other compensation from another party based on the referral of a client or the client's business.

## Following this Fiduciary Oath means I shall:

- \* Always act in good faith and with candor.
- \* Be proactive in disclosing any conflicts of interest that may impact a client.
- \* Not accept any referral fees or compensation contingent upon the purchase or sale of a financial product.

Signed this \_\_\_\_ of \_\_\_\_\_

\_\_\_\_\_  
Print Name of Advisor

\_\_\_\_\_  
Signature of Advisor

Signed this \_\_\_\_ of \_\_\_\_\_

\_\_\_\_\_  
Print Name of Branch Manager/Supervisor

\_\_\_\_\_  
Signature of Branch Manager/Supervisor

On this \_\_\_\_ of \_\_\_\_\_, before me, \_\_\_\_\_, the undersigned, a

notary public in and for said State, personally appeared \_\_\_\_\_ personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature