

Fiduciary Duty Oath

This is to certify that _____ will be a client of the undersigned firm and advisor firm, not a customer. As a client, we will place your best interests first. Therefore, we are proud to commit to the following five fiduciary principles:

- 1. We will always put your best interests first and act as your advocate.
- 2. We will act with prudence; that is, with the skill, care, diligence, and good judgment of a professional.
- 3. We will not mislead you. We will provide conspicuous, full and fair disclosure of all important facts.
- 4. We will avoid conflicts of interest, especially those involving our compensation.
- 5. We will fully disclose and fairly manage, in your favor, any unavoidable conflicts.

Dated this ___ day of _____, 20__.

Firm

Advisor