

Client Bill of Rights



You have the right to feel comfortable with your Investment Professional. In my practice, I set up criteria for the kind of clients with whom I will work. Similarly, you have a right to work with someone whose approach and personality allow you to participate fully and comfortably.

You have a right to have your goals and concerns treated with respect, with no value judgments made by me.

You have a right to confidentiality concerning every piece of information provided to me. This is vital since you will be sharing personal, private information that you may never have told anyone else.

You are entitled to written recommendations that are specifically related to your goals. That is, you have a right to a customized plan that takes into account the uniqueness of your individual situation.

You have a right to full disclosure by me of fees and commissions charged, and for what services and solutions.

You have a right to clear explanations for all recommendations and to thorough answers to all your questions. I, as your Advisor, have the responsibility to be an educator, and will assure that you understand any actions you are taking before you take them.

You have a right to an Advisor who is available to you. You and your needs are important and you have a right to be treated accordingly. If you need information – or just reassurance and support while implementing your plan, I will be there for you.

In exchange for having your bill of rights honored, you have the responsibility to work conscientiously with me, your Investment Advisor, and be prepared to discuss your personal feelings and concerns without withholding any information so we can both be as clear as possible about your life goals and your investment needs.

You are working with me because you can trust me, I'll communicate with you, and this will be collaboration between us.