

CODE OF CONDUCT

Purpose

The FINSIA Code of Conduct has been developed to promote high standards of professionalism and ethical conduct.

All FINSIA members and committee members are expected to uphold the values and comply with the standards of conduct set out in this Code.

Values

FINSIA's values are

- > Integrity
- > Professionalism
- > Objectivity
- > Respect

Standards of conduct

Members must

- > conduct themselves with integrity and refrain from any conduct that may bring discredit to the financial services industry
- > protect and promote the integrity of the financial services industry
- > comply with all legal and regulatory obligations
- > never knowingly mislead or deceive clients or any other person or party
- > act with due skill, care and diligence
- > exercise sound judgment
- > maintain client confidentiality
- > not allow self interest, bias or conflicts of interest to influence their actions, decisions or advice
- > not misuse client information or take improper advantage of any client information for their own or any other party's benefit.
- > treat all clients, colleagues and other parties with fairness, respect and dignity
- > inform FINSIA if they become aware of another member who has been guilty of unsatisfactory conduct, misconduct or has committed an offence in breach of the FINSIA Code of Conduct and/or By-laws.

Breaches of the Code must be reported to the Disciplinary Committee, which will deal with them in accordance with FINSIA procedures. FINSIA will ensure that matters are dealt with promptly and fairly.

Disciplinary processes and procedures are set out in FINSIA's By-Laws.

The Code will be reviewed every three years to ensure its continuing relevance and compatibility with FINSIA's purposes and governance. FINSIA reserves the right to amend the Code at any time consistent with the Constitution and By-Laws and will disclose any changes.

CODE ENDS

Recommended to FINSIA Board on 19 September 2013