Statement of Investor Rights

The “Statement of Investor Rights” was developed by CFA Institute to advise buyers of financial service products of the conduct they are entitled to expect from financial service providers. Demanding that financial professionals abide by these rights helps you build trust in the person and/or firm you engage with, and thereby collectively restore trust, respect, and integrity in finance.

When engaging the services of financial professionals and organizations, I have the right to...

Clear, accurate, complete and timely communications that use plain language and are presented in a format that conveys the information effectively;

To understand the performance of a financial product, whether it is a checking account, life insurance policy, mutual fund or another product, you must be able to understand the information provided by the financial professional or firm. Thus, you must receive communications — electronic, written, verbal or otherwise — that make sense to you. If you do not understand the information given to you, you have the right to ask questions, request an explanation and delay agreeing to the advice until the information is made clear.

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