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:

An understanding of my circumstances, advice provided is suitable and based on objectives and constraints;

Financial professionals must base decisions on facts directly related to your needs, and goals. Financial advice should feel comfortable to you, and you should question financial professionals so that you understand how their advice is derived. The best way to make sure that you understand the advice being given is to put the plans created for you in writing. This plan is commonly known as an investment policy statement. If you do not have an investment policy statement, ask the financial professional to create one together.

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relevant to your financial circumstances, and if it does not, you have the right to receive advice that fits you and your circumstances. Even so, you must seek the financial professional known as the Investment Policy Statement. If your financial professional has not created one, you should make sure that you and the financial professional agree on your financial circumstances.