

My Code of Conduct: I will:

- a. Help you to the best of my ability.
- b. Take no advantage of your inexperience.
- c. Communicate as clearly as I can.
- d. Try always to be in good time.
- e. Provide all the information you need to reach a sound decision.
- f. Correct without quibble any mistakes I might make.
- g. Be considerate about any mistakes you might make.
- h. Give you what you pay for.

In other words; I will do to you nothing I wouldn't appreciate you doing to me if we were in reversed roles.

My integrity, says the regulator, rests in evidence that clients:

- a. See good governance prevail in my decisions.
- b. Share my credence in the investment markets on which I advise, and see me offer cost-effective access to them.
- c. Know the boundaries of where their money is at risk, and who is accountable for safeguarding it within those limits.
- d. See value in their loyalty to me, as well as in mine to them: shown, for example, by them paying me not too little, as well as not too much.



Stephen Walters

last revised on 26th June 2017