



**YELLOW DOG**  
FINANCIAL  
• EST. 2008 •

## FIDUCIARY OATH

PUTTING YOUR INTERESTS FIRST

I believe in placing your best interests first. Therefore, I am proud to commit to the following fiduciary principles:

- ❖ I will always act in good faith and put your best interests first.
- ❖ I will avoid conflicts of interest and disclose anything that may compromise our impartiality.
- ❖ I will not mislead you, and I will provide conspicuous, full and fair disclosure of all important facts.
- ❖ I will fully disclose and fairly manage, in your favor, any unavoidable conflicts.
- ❖ I will not accept any referral fees or compensation contingent upon the purchase or sale of a financial product.
- ❖ I will not accept compensation from any other party.

Advisor Name: \_\_\_\_\_

Advisor Signature: \_\_\_\_\_