



## COUNCIL OF FINANCIAL PLANNERS

1st Floor, S.V. Complex, No.55, K.R.Road, Basavanagudi, Bangalore 560004

---

### CODE OF CONDUCT AND ETHICS OF COUNCIL OF FINANCIAL PLANNERS

For the purpose of this Code of Ethics, the word “**council**” shall hereinafter mean the same as “**Council of Financial Planners**”. Members of the Council shall at all times abide by and conform to the following code of conduct in their capacity as Council members or any other code of conduct the executive committee announces from time to time:

1. Each member of the Council will abide in all respects by the ***Council of Financial Planners Members' Code of Ethics*** and all other rules and regulations of the association (including but not limited to the association's articles of incorporation and bylaws) and will ensure that their membership (or the membership of the entity for which they serve as officer, director, employee, or owner, as the case may be) in the association remains in good standing at all times.
2. Members of the Council conduct the business affairs of the association in good faith and with honesty, integrity, due diligence, and reasonable competence.
3. Except as the Council members may otherwise require or as otherwise required by law, no Council member shall share, copy, reproduce, transmit, divulge or otherwise disclose any confidential information related to the affairs of the association and each member of the Council will uphold the strict confidentiality of all meetings and other deliberations and communications of the Council.
4. Members of the Council will exercise proper authority and good judgment in their dealings with association staff, suppliers, and the general public and will respond to the needs of the association's members in a responsible, respectful, and professional manner.
5. No member of the Council will use any information provided by the association or acquired as a consequence of the Council member's service to the association in any manner other than in furtherance of his or her Council duties. Further, no member of the Council will misuse association property or resources and will at all times keep the association's property secure and not allow any person not authorized by the Council to have or use such property.



## COUNCIL OF FINANCIAL PLANNERS

1st Floor, S.V. Complex, No.55, K.R.Road, Basavanagudi, Bangalore 560004

---

6. Each member of the Council will use his or her best efforts to regularly participate in professional development activities and will perform his or her assigned duties in a professional and timely manner pursuant to the Council's direction and oversight.
7. Upon termination of membership, a retiring Council member will promptly return to the association all documents, electronic and hard files, reference materials, and other property entrusted to the Council member for the purpose of fulfilling his or her job responsibilities. Such return will not abrogate the retiring Council member from his or her continuing obligations of confidentiality with respect to information acquired as a consequence of his or her tenure on the Council.
8. The Council dedicates itself to leading by example in serving the needs of the association and its members and also in representing the interests and ideals of the Financial Planning industry at large.
9. No member of the Council shall persuade or attempt to persuade any other member or employee of the association to leave the membership or employ of the association or to become members or employed by any person or entity other than the association. Furthermore, no member of the Council shall persuade or attempt to persuade any member, exhibitor, advertiser, sponsor, subscriber, supplier, contractor, or any other person or entity with an actual or potential relationship to or with the association to terminate, curtail, or not enter into its relationship to or with the association, or to in any way reduce the monetary or other benefits to the association of such relationship.
10. The Council members must act at all times in the best interests of the association and not for personal or third-party gain or financial enrichment. When encountering potential conflicts of interest, Council members will identify the conflict and, as required, remove themselves from all discussion and voting on the matter. Specifically, Council members shall follow these guidelines:
  - o Avoid placing (and avoid the appearance of placing) one's own self-interest or any third-party interest above that of the association; while the receipt of incidental personal or third-party benefit may necessarily flow from certain association activities, such benefit must be merely incidental to the primary benefit to the association and its purposes;



## COUNCIL OF FINANCIAL PLANNERS

1st Floor, S.V. Complex, No.55, K.R.Road, Basavanagudi, Bangalore 560004

---

- Do not abuse Council membership by improperly using Council membership or the association's staff, services, equipment, resources, or property for personal or third-party gain or pleasure; Council members shall not represent to third parties that their authority as a Council member extends any further than that which it actually extends;
  - Do not engage in or facilitate any discriminatory or harassing behavior directed toward association staff, members, officers, executive committee members, meeting attendees, exhibitors, advertisers, sponsors, suppliers, contractors, or others in the context of activities relating to the association;
  - Do not solicit or accept gifts, gratuities, free trips, honoraria, personal property, or any other item of value from any person or entity as a direct or indirect inducement to provide special treatment to such donor with respect to matters pertaining to the association without fully disclosing such items to the Council and
  - Provide goods or services to the association as a paid vendor to the association only after full disclosure to, and advance approval by, the Council, and pursuant to any related procedures adopted by the Council.
11. Any member who reports a concern or reports misconduct of other member or members in good faith, and with the reasonable belief that the information is true, is demonstrating a commitment to the Council's values and following the Code of Conduct. The council has zero tolerance for acts of retaliation. No one has the authority to justify an act of retaliation. Any member who engages in retaliation will be subject to disciplinary action, which may include termination of membership of the council.
12. The Council will not tolerate any form of harassment or discrimination. Harassment can be verbal, physical or include visual images where the effect creates an offensive atmosphere. It can take many forms and includes jokes, slurs and offensive remarks, whether delivered verbally, graphically or in electronic media, including e-mail. Harassment also includes disrespectful behavior or remarks that involve a person's race, color, sex, age, sexual orientation, gender identity, religion, disability, national origin or any other legally protected status. Harassment of any kind will not be tolerated in the council's dealings with other members and/or outsiders.