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CODE OF ETHICS

Integrity

I shall always act in good faith and with candor.

Objectivity

I shall be objective and unbiased in providing professional services to clients and never accept any referral fees or compensation that is contingent upon the recommendation, purchase, or sale of a financial product.

Fairness

I shall perform professional services in a manner that is fair and reasonable, always placing the client's best interests ahead of my own.

Disclosure

I shall fully describe my method of compensation and potential conflicts of interest to clients and also specify the total cost of investments.

Confidentiality

I shall not disclose any client information without the specific consent of the client unless in response to proper legal process, to defend against charges of wrongdoing or in connection with a civil dispute between myself or Swan Financial Planning and the client.

Competence

I shall provide services to clients competently, maintain the necessary knowledge and skill to continue to do so, and never provide advice in areas I am not capable.

Professionalism

My conduct in all matters shall reflect credit upon the financial planning profession.