ETHICS RESOURCES FOR FINANCIAL SERVICES

The following guide provides resources for inquiries about and reporting of ethical lapses in the financial services industry.

FOR FINANCIAL SERVICE PROFESSIONALS

FINRA

For general questions about ethics the Ombudsman's Office can provide guidance:

888-700-0028

To report ethical violations contact the Whistleblower Office:

866-963-4672 or write to whistleblower@finra.org

SEC

The SEC provides limited support for financial industry professionals regarding ethics. They recommend contacting your own legal counsel. You can report ethical violations and get some limited guidance at their Ombudsman's Office:

202-551-3330 or write to Ombudsman@sec.gov

AICPA

For CPA's there is a general hotline number:

888-777-7077 or write to ethics@aicpa.org

CFA Institute

CFA Institute does not provide a hotline for ethics related inquiries. You can write to them at:

ethics@cfainstitute.org

FOR THE GENERAL PUBLIC

<u>FINRA</u>

For general questions about ethics the Ombudsman's Office can provide guidance:

888-700-0028

To report ethical violations contact the Whistleblower Office:

866-963-4672 or write to whistleblower@finra.org

FINRA also has a special hotline to help seniors with ethical and general concerns about their investments:

844-574-3577

<u>SEC</u>

The SEC Ombudsman's office provides general advice to individuals regarding ethical questions.

202-551-3330 or write to Ombudsman@sec.gov

The SEC also has links to the two main databases for registered investment professionals, for brokers and investment advisors. Individuals can search those databases to find out about past ethical lapses at:

http://www.sec.gov/investor/brokers.htm

<u>AICPA</u>

For the general public, it's the same hotline as for CPAs:

888-777-7077 or write to ethics@aicpa.org

<u>CFA Institute</u>

CFA Institute does not provide a hotline for ethics related inquiries. For the general public, they would write to the same email address as for professionals:

ethics@cfainstitute.org