

A relevant provider must act, at all times and in all cases, in a manner that is demonstrably consistent with the following principles, in the discharge of their professional duties.

Standards of

Ethical behaviour

a relevant provider must:

Standard 1

Act in accordance with the spirit– and not only the letter – of all relevant laws and regulations (including this Code).

Standard 2

Must neither advise, refer, nor act in any other manner, where inappropriate personal advantage is derived by the relevant provider.

Standard 3

Act with personal integrity and as an independently minded professional, for the benefit of each client.

Standards of

Client care

a relevant provider must:

Standard 4

Act only on the basis of the free, prior and informed consent of a client.

Standard 5

Ensure that all advice and products are:

- in the best interest of each client,
- appropriate to the individual circumstances of each client,
- presented in terms easily understood by the client.

Standard 6

Take into account the broad effects arising from a client acting on their advice.

Standards of

Quality process

a relevant provider must:

Standard 7

Obtain informed consent to act and to receive agreed fees and payments for agreed services.

Standard 8

Obtain informed consent, and agree, to maintain records relevant to the advice provided, in accordance with relevant privacy, regulatory and confidentiality obligations..

Standard 9

Ensure that all advice and products are:

- offered in good faith and with competence,
- based on information that is neither misleading nor deceptive.

Standards of

Professional commitment

a relevant provider must:

Standard 10

Develop and maintain a high level of relevant knowledge and skills.

Standard 11

Accept that potential breaches of this Code will be subject to investigation and discipline from the responsible Code Monitoring Body, undertaken in accordance with ASIC's approval and oversight of that Body.

Standard 12

Individually and in cooperation with peers, uphold and promote the ethical standards of the profession, and hold each other accountable for the protection of the public interest.

Our values

A relevant provider must always act to realise and promote the values of:

- Trust
- Competence
- Honesty
- Fairness
- Diligence