

Code of Conduct

The Retirement Advisor Council advocates for successful qualified plan and participant retirement outcomes through the collaborative efforts of experienced Professional Retirement Plan Advisors, investment firms and asset managers, and defined contribution plan service providers.

The Council's Code of Conduct identifies the professional and ethical standards with which members are expected to comply. This Code serves to advance the retirement plans profession with employers, participants and regulators, while uniting Retirement Plan Advisors around their common mission, values and principles.

Accountability and Service

- Members will act with honesty and integrity and in accordance with recognized professional standards and governing laws. Members will take responsibility and be accountable for their actions and decisions, and will treat all with equality and dignity.

Duty of Care

- The actions and advice of Council Members will always conform to relevant law. Members will place the interests of participants first. All advice will be conflict free.

Confidentiality

- Members will adopt policies and establish processes to secure identifiable client information obtained in the course of providing services and keep it confidential from third parties. Members will not seek to derive personal benefit from confidential information.

Professionalism and Ongoing Education

- Members will conduct all activities professionally and seek objectivity in providing all recommendations, so that decisions are only influenced by the best and proper interests of the client.
- Members will continually hone their retirement plans expertise and actively pursue advanced education. Members understand that it may be appropriate to refer clients to other professionals when their requisite skills or knowledge are inadequate.