

What Every Investor Should Know About Investor Rights

Investors have rights that securities brokerage firms, investment advisors and their representatives are required to fulfill in dealing with each investor.

Investor rights include:

- Investors have the right to expect securities brokerage firms, investment advisors, and their representatives to deal fairly and in good faith in all interactions.
- Investors have the right to be informed of material facts, risks and costs associated with any investment recommended or sold by the securities brokerage firm, investment advisor, or their representative.
- Investors have the right to be provided with only investment recommendations and advice that are consistent with the investor's investment experience, investment objectives, time horizon, risk tolerance, and other factors pertaining to the investor's age, employment, and financial situation and needs (referred to below as the "Customer Investment Profile").
- Investors have the right to expect that securities brokerage firms, investment advisors, and their representatives will adhere to the professional standards established by their self regulatory organizations.
- Investors have the right to be informed of any interests held by the securities brokerage firm, investment advisor, or their representative that may conflict with the investor's in matters relating to the investor's investments or account.
- Investors have the right to professional assistance in ascertaining the investor's Customer Investment Profile.
- Investors have the right to be charged a fair price for services provided.
- Investors have the right to select a stockbroker / advisor or change to another one for any reason.
- Investors have the right to move accounts to another firm whenever the investor wishes in a simple, efficient manner.
- Investors have the right to clear, accurate and timely account statements from securities brokerage firms and investment advisors, including detailed information about transactions.
- Investors have the right to clear information about costs, charges and fees.
- Investors have the right to a clear description of the firm's privacy policies regarding protection of personal (non-public) information.
- Investors have the right to a response from firm management to any complaint.
- Investors have the right to expect that securities brokerage firms, investment advisors, and their representatives will adhere to all federal and state laws governing the sale of securities, the rendering of investment advice and the operation of an investment business.



Page Perry, LLC

Protecting Investor Rights

Atlanta, Georgia

www.pageperry.com

(877) 673.0047