

**DAYSTAR FINANCIAL GROUP INC.**  
**BROKER CODE OF CONDUCT**

As a Broker contracted with Daystar Financial Group it is expected that you will carry out your business;

- with integrity
- with competence and diligence
- with fairness
- you will maintain confidentiality and personal information
- act with professionalism
- in accordance with the law
- conduct your business objectively.

Brokers and their employees are expected to know and follow the regulations as set out in;

- Proceeds of Crime (Money Laundering) Terrorist Financing Act (PCMLTFA) See Schedule A
- Personal Information Protection and Electronic Documents Act (PIPEDA) See Schedule B

Provide full disclosure to clients with respect to any conflict of interest or perceived conflict of interest. Disclosure letters are utilized and presented to each client when conducting any new business.

**Integrity**

- Honest
- Reliable
- Ethical
- Act in the client's best interest
- Not be party to or condone any business which is illegal, dishonest, fraudulent or deceitful

**Competence and diligence**

- Continue to update knowledge and skills in order to assist clients
- Continuous participation in professional development
- Use resources available

**Fairness**

- Provide accurate and complete facts on products, services and company information
- Remain impartial
- Be equitable
- Avoid any conflict of interest or perceived conflict
- Provide disclosure letters to all clients

**Confidentiality and Personal Information**

- Ensure proper safeguards are in place to protect personal information

Confidential

- Adhere to strict confidential guidelines when dealing with client information
- Ensure compliance with PIPEDA
- Notify Daystar Financial Group in writing of any client complaints pertaining to PIPEDA

Professionalism

- Set high standards for professional conduct
- Represent the industry/Daystar in a positive fashion at all times

Accordance with the law

- Comply with all legislation and regulations governing your business
- Notify Daystar Financial Group in writing immediately of any interruptions in Licensing or Errors and Omissions Insurance.
- Ensure all employees are monitored to ensure compliance, notify Daystar Financial Group in writing of any pending litigation or pending sanctioning.
- Stay current and updated with changes in legislation and regulations that may effect your business

Objectivity

- Place what is the clients interest above self-interest

I \_\_\_\_\_ an Advisor contracted with Daystar Financial Group Inc. agree to uphold and abide by the Code of Conduct outlined above. I understand that if I am found to be non-compliant with the Daystar Financial Group Broker/Advisor Code of Conduct my contract with Daystar Financial Group may be terminated.

Signed this \_\_\_\_ day of \_\_\_\_\_, 200\_ in the City of \_\_\_\_\_ in the Province of \_\_\_\_\_.

\_\_\_\_\_  
Advisor Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Witness Name

\_\_\_\_\_  
Signature

Daystar Financial Group Inc. employs a full-time compliance officer as a resource for all Brokers contracted. Brokers should contact our compliance office; Kathleen Shortt @ [Kathleen@daystar-financial.com](mailto:Kathleen@daystar-financial.com) or 204-947-8517 should they have any questions or concerns regarding the Code of Conduct.