GLOBAL FINANCIAL PRIVATE CAPITAL

CLIENT CHARTER

GLOBAL FINANCIAL
Private Capital

OUR CLIENT SERVICE MISSION

At Global Financial Private Capital, we believe that our client is top priority. We wish to engage in a friendly, yet professional relationship whereby you feel we are providing a beneficial and convenient service. We strive to conduct all aspects of our service with integrity, honesty and consistency.

CLIENT CONTACT

We aim to answer your call promptly and courteously, with a real human being, not a recorded message, provided your call is between 8:30am and 5:00pm, Monday through Friday (excluding market holidays).

RESPONSIVENESS

When you have questions or queries requiring an answer, we will provide a response within 4 working hours. We will attempt to be proactive, approachable, and responsive to the needs of our clients. If you feel we have failed to live up to these, or any other expectations, we promise to pass your comments to our CEO, so prompt corrective action will be taken.

PRIVACY AND CONFIDENTIALITY

Global Financial Private Capital respects your right to privacy and security. We will treat all of your personal information as private and confidential within our company. We will only share this information with associates when necessary for the effective management of your account.

PERSONAL ACCOUNT MANAGEMENT

We will provide a clear and accurate summary of your account on a monthly basis. We will also provide you with the current position of your account, on request. We will strive to make your financial transactions easier and more convenient.

TRANSPARENCY OF SERVICES

We will provide fair and accurate disclosure relating to all our services.

If there is anything you see that we could do better, inform us. We take every comment seriously and strive to provide the finest service you deserve.

STANDARD OF CARE

All financial planning services will be delivered in accordance with the *FPA Standard of Care:*
Principle 1: Put the client's best interests first.
Principle 2: Act with due care and in utmost good faith.
Principle 3: Do not mislead clients.
Principle 4: Provide full and fair disclosure of all material facts.
Principle 5: Disclose and fairly manage all material conflicts of interest.

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PRIVATE ASSET MANAGEMENT • ASSET PROTECTION • INCOME TAX MINIMIZATION • RISK MANAGEMENT

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