

FINANCIAL OPTIMIST⁺⁺

DISCLAIMER

Financial Optimist LLC is a registered investment advisor offering advisory services in the State of Florida and in other jurisdictions where exempted. Certified Financial Planner Board of Standards Inc. owns the certification marks CFP® and Certified Financial Planner™ in the U.S., which it awards to individuals who successfully complete CFP Board's initial and ongoing certification requirements.

Website Content

All written content on this site is for information purposes only. Opinions expressed herein are solely those of Financial Optimist LLC, unless otherwise specifically cited. Material presented is believed to be from reliable sources and no representations are made by our firm as to another parties' informational accuracy or completeness. All information or ideas provided should be discussed in detail with an advisor, accountant, or legal counsel prior to implementation.

This website may provide links to others for the convenience of our users. Our firm has no control over the accuracy or content of these other websites.

Registration Information

Advisory services are offered through Financial Optimist LLC, an investment advisor firm domiciled in the State of Florida. The presence of this website on the internet shall not be directly or indirectly interpreted as a solicitation of investment advisory services to persons of another jurisdiction unless otherwise permitted by statute.

Follow-up or individual responses to consumers in a particular state by our firm in the rendering of personalized investment advice for compensation shall not be made without our first complying with jurisdiction requirements or pursuant an applicable state exemption.

For information concerning the status or disciplinary history of a broker-dealer, investment advisor, or their representatives, a consumer should contact their state securities administrator.

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Code of Ethics

Financial Optimist LLC holds itself to a *fiduciary standard*, which means our firm and its associates have a duty of utmost good faith to act solely in the best interests of each client. Our clients entrust us with their funds and personal information, which in turn places a high standard on our conduct and integrity. Our fiduciary duty is a core aspect of our Code of Ethics and represents the expected basis of all of our dealings. The firm also adheres to the Code of Ethics and Professional Responsibility adopted by the CFP Board of Standards Inc., and accepts the obligation not only to comply with the mandates and requirements of all applicable laws and regulations but also to take responsibility to act in an ethical and professionally responsible manner in all professional services and activities. Firm policies include prohibitions against insider trading, circulation of industry rumors, and certain political contributions, among others.

Financial Optimist LLC believes that its business methodologies, ethics, rules, and adopted policies are appropriate to mitigate material conflicts of interest and to appropriately manage any material conflicts of interest that may remain. Clients should be aware that no set of rules can possibly anticipate or relieve all potential material conflicts of interest. Our firm will disclose to its advisory clients any material conflict of interest relating to the firm, its representatives, or any of its employees which could reasonably be expected to impair the rendering of unbiased and objective advice.

Financial Optimist LLC periodically reviews and amends its Code of Ethics to ensure that it remains current and requires firm personnel to annually attest to their understanding of and adherence to the firm's Code of Ethics.