



VERITAS. CARITAS. UNITAS

CODE OF CONDUCT

Wealth Way

Abstract

At the core of our success is how we choose to show up—for each other, for our clients, and for the communities and regulators we engage with. This Code of Conduct is more than a list of rules; it's a reflection of who we are and what we stand for.

We are a people-focused team, driven by integrity, respect, and accountability. We lead with honesty, operate with speed and purpose, and put our clients at the center of everything we do. Our actions reflect the pride we take in our work, the loyalty we feel toward one another, and the responsibility we carry as representatives of the Wealth Way Group.

This Code sets out the standards of behavior we expect from ourselves and one another. It's here to protect our culture, guide our decisions, and ensure that every action we take reflects the values we hold dear.

TEAM CODE OF CONDUCT

At the heart of our team is a commitment to excellence, grounded in respect, integrity, and accountability.

This Code of Conduct outlines how we engage with each other, our clients, and our regulators, fostering a culture that prioritizes people, ethical leadership, and high performance.

OUR CORE VALUES

People-Focused Leadership

- We grow and develop our people. Leadership is not about hierarchy—it’s about taking initiative, acting with courage, and lifting others as we climb.
- We operate like a family: supportive, loyal, and invested in one another’s success.

Client-Centric Approach

- We design our products around our clients' needs—not our own convenience.
- We execute our clients’ instructions expediently, keeping processes simple and removing unnecessary barriers.
- We keep our clients informed, treating every interaction as a chance to build trust.

Integrity & Ethics

- We are honest, transparent, and fair in all dealings—with colleagues, clients, regulators, and stakeholders.
- We hold ourselves accountable, even when no one is watching.
- We do not tolerate dishonesty, manipulation, or narcissistic behavior.

Respect & Inclusion

- We treat everyone with dignity, regardless of role, background, or perspective.
- We do not discriminate, and we foster a safe, inclusive space for all.
- We don’t tolerate division, animosity, or behaviors that isolate or diminish others.

Regulatory Engagement

- We engage openly and transparently with our regulators.
- We believe in overcommunication where it supports compliance and good governance.

Confidentiality

- We protect sensitive information and exercise discretion in all internal and external communications.

Responsibility & Action

- We value speed, focus, and follow-through. When something needs to be done, we initiate.
- We take responsibility for outcomes—individually and as a team.
- We lead with clarity, not confusion.

Compliance & Professional Conduct

- We comply with all laws, regulatory requirements, and internal policies.
- We avoid conflicts of interest and disclose them when they arise.
- We manage financial and company resources responsibly.
- We represent the team and the Wealth Way Group with professionalism, humility, and pride.

WHAT WE DON'T TOLERATE

- Division or exclusion within the team
- Victim mindsets or a reluctance to take ownership
- Animosity, gossip, or undermining behavior
- Disloyalty or a lack of team spirit
- Self-centeredness or arrogance in success