



## **Lewis Financial, LLC**

**3590 Sacramento Drive, Suite 140, San Luis Obispo, CA 93401**

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***Lewis Financial, LLC (Lewis Financial) shall continuously uphold and abide by the following ethical principles that are vital to the achievement of the highest standard of professionalism and ethics across the financial services industry:***

### **Principle 1: Competence**

Lewis Financial, including all directors, officers, advisors, and employees shall develop and maintain the relevant knowledge, skills and behavior to ensure that their activities are conducted professionally and proficiently. This includes acting with diligence, as well as obtaining, and regularly updating, the appropriate qualifications, training, expertise, and practical experience.

### **Principle 2: Integrity**

Lewis Financial, including all directors, officers, advisors, and employees, shall be honest and open in all their dealings. This includes behaving in an accountable and trustworthy manner, and avoiding any acts that might damage the reputation of or bring discredit to the industry at any time.

### **Principle 3: Fairness**

Lewis Financial, including all directors, officers, advisors, and employees, shall act responsibly and embrace a culture of fairness and transparency. This includes treating those with whom they have professional relationships with respect and ensuring that they consider the impact of their decisions and actions towards all stakeholders.

### **Principle 4: Confidentiality**

Lewis Financial, including all directors, officers, advisors, and employees shall protect the confidentiality and sensitivity of information provided to them. This includes using it for its intended purposes only and not divulging information to any unauthorized persons, including third parties, without the necessary consent from those involved unless disclosure is required by law or regulation.

### **Principle 5: Objectivity**

Lewis Financial, including all directors, officers, advisors, and employees shall not allow any conflict of interest, bias, or undue influence of others to override their business and professional judgment. They shall declare, to those concerned, all matters that could impair their objectivity.