

Texas Woman's University Regent Policy

Regent Policy Name: Standards of Conduct for Financial Advisors and Service Providers

Regent Policy Number: Regent Policy: E.50010

POLICY STATEMENT

Texas Woman's University by rule of the Board of Regents adopts rules of conduct for financial advisors and service providers as presented.

APPLICABILITY

This policy is applicable to TWU Students, Faculty, Staff, and Guests.

DEFINITIONS

None

POLICY

Standards of Conduct

All entities who provide, or offer to provide, financial advisory services to Texas Woman's University must abide by the following standards of conduct:

- I. Each financial organization must engage in and promote honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships
- II. Comply fully with the requirements of the Texas Public Funds Investment Act, Texas Government Code, Chapter 2256 as delineated in the University's Investment Policy regarding the investment or investment management of University funds;
- III. Acknowledge in writing that the financial organization offering to engage in investment advisory or management services has read and agrees to comply with the requirements of the University's Investment Policy;
- IV. Immediately disclose any information to the University of any industry related or investment management problems or concerns that might adversely impact the reasonable performance of the University's funds;
- V. Immediately disclose any changes in the key personnel within the organization that provides financial advisory or management services to the University;

- VI.** Provide investment advisory, management, and broker services in accordance with the highest standards of financial industry professionalism and accountability;
- VII.** Comply with the disclosure requirements contained in Texas Government Code, Section 2263.005.

REVIEW

This policy will remain in effect and published until it is reviewed, updated, or archived. This policy is to be reviewed once every six years. Interim review may be required as a result of updates to federal and state law or regulations, or internal processes or procedures.

REFERENCES

Texas Public Funds Investment Act, Texas Government Code, Chapter 2256; and Texas Government Code, Section 2263.005.

FORMS AND TOOLS

None

Adopted: February 27, 2004

Revised: (Month Day, Year)