

6.3 Referral Fees

重要知识点

6.3.1 Disclosure 的目的在于让客户和雇主评估： 1)any partiality shown in any recommendation of service; 2) the full cost of the services;

6.3.2 Disclosure to the clients being referred and employer if necessary; Disclosure nature of consideration.

6.3.3 Encourage employers to develop procedures for referral fees.

6.3.4 Firm may completely restrict such fees, if not restrict, should indicate the appropriate steps for requesting approval.

6.3.5 Employers should have investment professionals provide to the clients notification of approved referral fee programs and provide the employer regular (at least quarterly) updates on the amount and nature of compensation received.