

Code of Ethics Summary

PeakStone Wealth Management, LLC maintains a Code of Ethics that reflects our fiduciary duty, professional standards, and commitment to client-first advice.

This summary is provided to help clients and prospective clients understand the principles that guide our advisory work. Clients may request a copy of our full Code of Ethics at any time.

Client-First Standard

PeakStone is an independent registered investment adviser. When providing advisory services, we have a fiduciary duty to act in our clients' best interests.

We seek to provide advice based on each client's goals, circumstances, responsibilities, risk tolerance, time horizon, and agreed scope of engagement.

Integrity and Objectivity

We are expected to act honestly, candidly, and professionally. Recommendations should be based on the client's needs and the planning work behind the decision, not on product sales, undisclosed incentives, or personal advantage.

Disclosure of Conflicts

Conflicts of interest can arise in advisory relationships. PeakStone seeks to identify, disclose, and manage material conflicts so clients can evaluate the advice they receive.

Material conflicts may relate to fees, compensation, outside business activities, insurance activity, referrals, personal trading, business relationships, technology platforms, or other interests.

Confidentiality and Privacy

We treat client information as confidential and use it only for legitimate advisory, operational, legal, regulatory, or service-related purposes.

PeakStone maintains privacy practices and safeguards designed to protect personal, financial, planning, account, and Compass by PeakStone information.

Competence and Diligence

We seek to provide services with care, competence, and diligence. When a matter requires specialized legal, tax, accounting, actuarial, valuation, insurance, retirement plan, or other expertise, we may recommend that the client consult an appropriate professional.

Personal Trading Controls

PeakStone's Code of Ethics includes personal securities trading standards designed to prevent client information, nonpublic recommendations, or personal trading interests from being used in a way that conflicts with client interests.

Outside Activities

PeakStone requires disclosure and review of outside business activities that may create conflicts of interest. Outside activities must remain separate from PeakStone's advisory business unless specifically disclosed in writing.

Marketing and Public Communications

PeakStone expects marketing, educational content, websites, articles, podcasts, videos, social media, presentations, and other public communications to be fair, balanced, and not misleading.

Educational materials are not a substitute for personalized advice under a written advisory agreement.

Compliance With Law

PeakStone and its supervised persons are expected to comply with applicable securities laws, privacy obligations, client agreements, firm policies, and regulatory requirements.

Requesting the Full Code

Clients and prospective clients may request a copy of PeakStone's full Code of Ethics by contacting us.

PeakStone Wealth Management, LLC
Email: compliance@peakstonewealth.com
Website: peakstonewealth.com