

## Additional Regulatory Disclosures

Regulation Best Interest (Reg BI) is an SEC rule which provides guidelines on the responsibilities of broker-dealers to act in the best interest of their clients. Reg BI establishes a “best interest” standard of conduct for brokers-dealers and their associated persons for making recommendations to retail customers regarding securities transactions or investment strategies, including recommendations of types of accounts.

More information on the regulation, and related policies and disclosures, is provided through the links below:

- [CFII Form CRS \(Customer Relationship Summary\)](#)
- [Regulation Best Interest Comprehensive Disclosure](#)
- [Margin Disclosure & Statement of Interest Charges](#)
- [Commission Schedule – CFII](#)
- [Fee Schedule – RBC C&C](#)

## General Information

- <https://www.investor.gov/CRS>
- <https://www.finra.org/investors>
- <https://brokercheck.finra.org/>