

# Broker Duties in Wisconsin

## Owed to Customers (Referee)

- ✓ Confidential Information
- ✓ Fair and Honest Treatment
- ✓ Reasonable Care and Skill
- ✓ Disclosure of Material Adverse Facts
- ✓ Provision of Accurate Market Condition Information - When Asked
- ✓ Safeguarding of Funds or Property Held by Broker
- ✓ Objective Presentation of Offers

## Owed to Client (Coach)

- ✓ Confidential Information
  - ✓ Fair and Honest Treatment
  - ✓ Reasonable Care and Skill
  - ✓ Disclosure of Material Adverse Facts
  - ✓ Provision of Accurate Market Condition Information - When Asked
  - ✓ Safeguarding of Funds or Property Held by Broker
  - ✓ Objective Presentation of Offers
1. Loyalty
  2. Disclosure of Material Information
  3. Provision of Advice/Information When Requested
  4. Negotiation on Client's Behalf (Unless Waived by Client)

