



REQUIREMENTS TO MAINTAIN YOUR CERTIFICATION

In order to maintain your HDP™ certification, you must demonstrate your continued mastery of The Heritage Process and your commitment to the Heritage Institute community. This may be achieved through investing in your personal and professional growth by:

- **Active engagement in the Heritage community**, which may be demonstrated by attending at least one THI event each year.
- **Personal Application:**
 - Demonstrate competency in Heritage Design and integration of Heritage Design into your life and practice; and
 - Maintaining HDP™ Membership in good standing*;
- **Academic:** You must complete at least 15 hours of approved Continuing Education each year and attend THI's Annual Meeting at least every other year. (See below for approved Continuing Education.)
- **Annual Review:** Successfully complete an annual review with THI's Director of Mentoring (or his designee) to verify the requirements listed above, and your continued integration of Heritage Design into your life and practice.

Approved Continuing Education:

- All of THI's Advanced Training Academies (on-line or classroom)
- THI Approved Study Group
- THI Approved In-house Training

In addition, you may submit any other program for Continuing Education approval which shall be granted in THI's sole discretion.

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THI'S CODE OF ETHICS*

Preamble

The Heritage Institute, LLC is dedicated to establishing and maintaining an international community within which professionals can prepare for and experience their most desired professional and personal outcomes, and share their experience and wisdom with like-minded colleagues.

We are recognized as the world's foremost authority on creating successful multi-generational families. And, we have an unmatched wealth of intellectual property, processes, training, expertise, and resources for building deeper client relationships, creating relationships with existing clients' families, and helping client families stay together for multiple generations.

We are dedicated to the development and support of a select and sustainable association of fully engaged Members united in their commitment to light a fire within each person with whom they share Heritage Design and The Heritage Process. Through study and application of Heritage Design, our Members have the opportunity to enhance their own lives, the lives of all those they touch, and, in time, to change the world.

Therefore, all The Heritage Institute's Members and Staff agree to the following Code of Ethics:

Core Principles

I: Our Practice

We will conduct our business with integrity, honesty and empathy. We will consistently and diligently work to improve our skills, and to increase our knowledge to better serve our clients. We will maintain or exceed the published requirements of membership in The Heritage Institute.

II: Our Clients

We will put clients and their family first as we share Heritage Design and The Heritage Process™ with them. We will actively promote the Guided Discovery Process™ as the tool to help define the concrete values needed to support the family's initial and evolving Heritage Statement, and the family's Heritage Days and ongoing commitment to each other. We will strive to help successive



generations inherit the family heritage, traditions and values along with their material inheritance. We will honor the confidentiality of client information.

III: Our Team

We will support, mentor, respect, and by our example seek to inspire fellow Members of The Heritage Institute, and other advisors who are members of collaborative teams which work with Heritage Design Professionals™. We will adhere to the highest professional standards in all our transactions and communications.

IV: Our Future

We are committed to sharing the knowledge and skills gained through continuing education and mentoring with our fellow Heritage Institute Members. We will diligently adhere to the central mission of bringing Heritage Design to our clients and generations of their families.

Commitment and Compliance

When needed, The Heritage Institute will establish a Member's Council consisting of not less than five and not more than seven Heritage Design Professionals™ in good standing, plus one or more non-voting ex-officio representative(s) from The Heritage Institute. The Member's Council is charged with promoting and protecting this *Code of Ethics* (hereinafter referred to as the "Code"). This Council is charged with the review of ethical matters and complaints or reports of Code violations (or initiating proceedings, including complaints, on its own), providing counseling, holding hearings, making rulings, and recommending sanctions.

The need to protect the credibility of The Heritage Institute, the Heritage Design Professional™ designation and The Heritage Process™ is a crucial responsibility of each Heritage Institute member. Therefore, Members are required to report any violations of this Code to The Heritage Institute for its referral to the Member's Council. The Member's Council's priority is to encourage The Heritage Institute's Members to maintain the highest ethical standards, and to promote prevention over enforcement. Prevention begins with enlisting advice about troubling situations from The Heritage Institute and/or their assigned mentor.

Whenever The Heritage Institute receives a report of a violation of this Code by a Member, the Member's Council will discharge its enforcement responsibilities as necessary. Anyone may initiate queries or report violations of this Code which may



start confidential Member's Council proceedings, but only Heritage Institute Members or people holding Heritage Certification can be respondents; that is, only Heritage Institute Members or Certified Members can be accused of violating this Code.

Examples of events that will cause action by the Member's Council include, but are not limited to, notification that a Heritage Institute Member has:

1. Engaged in activities that may harm The Heritage Institute, its Members, or the Member's clients or collaborative team members;
2. Engaged in activities that conflict with their fiduciary, ethical, and legal obligations to their clients;
3. Has potential and/or actual conflicts of interest; however, such conflict does not imply ethical impropriety;
4. Exploited a relationship with a non-profit, donor or employee to the benefit of the Member or the Member's organization;
5. Has not complied with all applicable local, state, and federal codes, statutes, rules or regulations;
6. Has not been truthful about their professional experience and qualifications;
7. Has disclosed privileged or confidential information to unauthorized parties;
or
8. Has released client and prospect information created by, or on behalf of a nonprofit that is clearly the property of that organization without proper authorization or the organization.

(The foregoing are samples, only. The list is not intended to be exhaustive or inclusive.)

Queries (formal letters of inquiry) and/or reports of violations or complaints (formal charges) must be filed, in writing, within one year following the discovery of the alleged violation. There is no time limit for complaints that allege criminal activity or false or misleading representations in connection with The Heritage Institute membership or certification sponsored by The Heritage Institute. All queries, complaints, and reports of violations must name the Affected Member (also referred to herein as the "Respondent"), present the facts of the incident or practice in question, and be signed.



Enforcement

The three primary tools for handling ethics queries and complaints are: Telephone Consultations, Personal Coaching and Member's Council Investigative Review.

1. Telephone Consultations:

One of the most important features of The Heritage Institute's enforcement system is the ease with which anyone can obtain advice about ethical issues before problematic situations harden into problems. Telephone consultations are informal procedures and may not involve the full Members Council.

2. Personal Coaching:

The goal of personal coaching is to provide assistance without resorting to a formal complaint.

3. Member's Council Investigative Review:

The Member's Council Investigative Review is conducted to determine whether sufficient grounds exist for a hearing. The Council's first acts are to give notice of the complaint to the Member cited (the Affected Member) and to request the Affected Member's written response. At this time, one of the most significant aspects of The Heritage Institute's ethics enforcement process comes into play: Member's Council Counseling Plan. Council members work directly with the parties to find solutions. The Affected Member's cooperation with the Council's recommendations to take corrective action, make restitution, or cease and desist prohibited conduct may avoid loss of membership. An Affected Member, who rejects the Council's recommendations, may have their membership terminated by The Heritage Institute, pursuant to the terms of his/her License Agreement with The Heritage Institute.

The Affected Member may also request a hearing regarding the complaint or the Council's recommendations. Hearings will be conducted by a panel consisting of three to five members of the Member's Council, depending on the nature and severity of the charge. Said number shall be set by the Member's Council in its sole discretion. The hearing panel will make findings on the evidence, and, if it finds that prohibited behavior occurred, will recommend sanctions as quickly as reasonable.



Ethics sanctions are serious. Although The Heritage Institute would prefer to avoid sanctions, Members must be held accountable to this Code. In order of gravity, penalties include:

- A. **Censure and Letter of Reprimand:** A formal, written notice that the Member's conduct violated the Code. Though records are kept, reprimands are private. Censured Members may not hold office for one year.
- B. **Suspension:** Suspensions may range from one to five years, depending on the circumstances. Suspended members are barred from all Heritage Institute related activities and member offices. Though records are kept, Suspensions are private.
- C. **Expulsion:** The Member's membership and Certification with The Heritage Institute shall be terminated pursuant to the terms of the Member's License Agreement. This is the only sanction with public notice. All The Heritage Institute's Members and strategic relationships will be notified of this action.

The Heritage Institute's decisions and actions are not subject to review. However, all respondents have the right to appeal the decisions or recommendations of the Member's Council to The Heritage Institute, for the following reasons:

- 1. if the Member's Council failed to follow published criteria, policies, or procedures; or*
- 2. due to a material mistake of fact.*

Appeals must be filed in writing within 30 days of the sanction. The Heritage Institute shall respond as soon as is practical, typically within 15 working days.