



Gaia Capital Management, Inc.
Registered Investment Advisor

James C. Pursley
Vivian J. Lopez
Investment Advisor Representatives

Our Pledge to You

We at Gaia enjoy a privileged, professional relationship of trust with our clients. Underlying that trust are integrity, competence, vision and judgment. We pledge to nourish these four dimensions of trust through the following actions:

Integrity

- Act always in your best interests
- Follow through promptly on agreements made
- Behave on and off the job according to accepted ethical principals
- Keep the information we collect from our work with you strictly confidential

Competence

- Work only within our sphere of competence
- Carry out all duties to you in a clear and competent manner
- Maintain competence through appropriate continuing education
- Conduct our work with thoroughness, timeliness and care to important details
- Leverage competence and exemplary service to deepen our relationship with you

Vision

- Employ our experience, talent, expertise and resources to envision a path to your financial security
- Nurture a vision of Gaia as your able and trustworthy financial advisor

Judgment

- Exercise the best possible judgment in all we do for you
- Employ integrity, competence and vision in all decisions we make that affect you