

Equal Employment/Non-Discrimination

It is the policy of <company> to treat all individuals the same in any aspect of employment practices without regard to race, religion, creed, color, national origin, disability, marital status, sex, age, veteran status, sexual orientation, gender identity or expression, genetic information, or any other protected class in accordance with applicable federal laws.

<company> complies with applicable state and local laws governing equal employment opportunity and nondiscrimination in every location in which the company has facilities. This policy extends to recruiting and hiring, compensation, benefits, company-sponsored training, and education programs, use of facilities and all other terms, conditions, and privileges of employment.

Non-Harassment

It is the policy of the <company> to maintain a working environment free of all forms of harassment or intimidation. At <company> harassment, sexual harassment and discrimination, whether verbal or physical are unacceptable and will not be tolerated.

This policy covers all Associated Persons (including employees, managers, financial representatives, employees of financial representatives), as well as owners, clients and other non-associated persons who conduct business with <company>. Thus, <company> will not tolerate, condone or allow harassment or discrimination, whether engaged in by Associated Persons, owners, clients or other non-associated persons who conduct business with <company>.

Harassment is unlawful and includes, but is not limited to, slurs, jokes and other verbal, graphic or physical conduct relating to an individual's race, religion, creed, color, national origin, disability, marital status, sex, age, veteran status, sexual orientation, gender identity or expression, genetic information, or any other protected class. Harassment also includes unwelcome sexual advances, requests for sexual favors, offensive touching and other verbal, graphic or physical conduct of a sexual nature, when such conduct has the purpose or effect of creating an intimidating, hostile or offensive working environment. Directors and managers are also covered by this policy and are prohibited from engaging in any form of harassing conduct.

No supervisor or any other member of management has the authority to suggest to any employee or applicant that the individual employment, wages, benefits and/or future advancement will be affected in any way by the individual entering into (or refusing to enter into) any form of personal relationship with a supervisor or member of management. Such conduct is a direct violation of this policy.