



PICKLER COMPANIES, LLC
STAFF MEMBER HANDBOOK

Welcome to Pickler Companies!

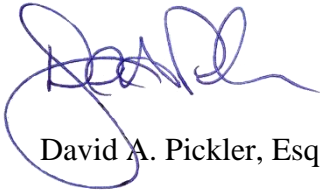
Starting a new job is exciting, but at times can be overwhelming. This Staff Member Handbook has been developed to help you become acquainted with our company and answer many of your initial questions.

As a staff member of Pickler Companies, you are very important. Your contribution cannot be overstated. Our goal is to provide the finest-quality services to our clients and to do so more efficiently and economically than our competitors. By satisfying our clients' needs, we ensure they will continue to do business with us and will recommend us to others.

You are an important part of this process because your work directly influences our company's reputation.

We are glad you have joined us, and we hope you will find your work to be both challenging and rewarding.

Sincerely,

A handwritten signature in blue ink, appearing to read 'David A. Pickler', with a large, stylized flourish at the end.

David A. Pickler, Esq., CFP®, ChFC®, CDFA®

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Section 1: The Way We Work

A Word About This Handbook

This Staff Member Handbook contains information about the employment policies and practices of the company. We expect each staff member to read this Staff Member Handbook carefully, as it is a valuable reference for understanding your job and the company. The policies outlined in this Staff Member Handbook should be regarded as fluid policies, which in an ever-expanding business will require changes from time to time. The company retains the right to make decisions involving employment as needed in order to conduct its work in a manner that is beneficial to the staff members and the company. This Staff Member Handbook supersedes and replaces any and all prior Staff Member Handbooks and any inconsistent verbal or written policy statements.

Except for the policy of at-will employment, which can only be changed by the president of the company or his designee in a signed written contract, the company reserves the right to revise, delete, and add to the provisions of this Staff Member Handbook at any time without further notice. All such revisions, deletions or additions to the Staff Member Handbook must be in writing and must be signed by the president of the company or his designee. No oral statements or representations can change the provisions of this Staff Member Handbook.

The provisions of this Staff Member Handbook are not intended to create contractual obligations with respect to any matters it covers. Nor is this Staff Member Handbook intended to create a contract guaranteeing that you will be employed for any specific time period.

OUR COMPANY IS AN AT-WILL EMPLOYER. THIS MEANS THAT REGARDLESS OF ANY PROVISION IN THIS STAFF MEMBER HANDBOOK, EITHER YOU OR THE COMPANY MAY TERMINATE THE EMPLOYMENT RELATIONSHIP AT ANY TIME, FOR ANY REASON, WITH OR WITHOUT CAUSE OR NOTICE. NOTHING IN THIS STAFF MEMBER HANDBOOK OR IN ANY DOCUMENT OR STATEMENT, WRITTEN OR ORAL, SHALL LIMIT THE RIGHT TO TERMINATE EMPLOYMENT AT-WILL. NO OFFICER, STAFF MEMBER, OR REPRESENTATIVE OF THE COMPANY IS AUTHORIZED TO ENTER INTO AN AGREEMENT—EXPRESS OR IMPLIED—WITH ANY STAFF MEMBER FOR EMPLOYMENT FOR A SPECIFIED PERIOD OF TIME UNLESS SUCH AN AGREEMENT IS IN A WRITTEN CONTRACT SIGNED BY THE PRESIDENT OF THE COMPANY OR HIS DESIGNEE.

This Staff Member Handbook refers to current benefit plans maintained by the company. Refer to the actual plan documents and summary plan descriptions if you have specific questions regarding the benefit plan. Those documents are controlling.

Likewise, if a written contract is inconsistent with the Staff Member Handbook, the written contract is controlling.

Building for the Future

As with any business, revenues are an absolute necessity for maintaining jobs and building for the future. Rather than look at generating sales and revenue as an "undesirable task", we look at it as a "must" situation. How do we continue to generate revenues to ensure a secure future and continued opportunities for all staff members? With teamwork. Together we must meet the challenges we face on a daily basis.

In general, we have mentioned benefits, responsibilities and operations. We have saved the most crucial component of this business for last -- You.

At all times, you represent the company, and it is up to each one of you to take this responsibility seriously. Our company exists with your joint efforts. Don't underestimate your contribution to it. A great many people outside the business who invest their time, money and faith in us are part of that equation. They are our clients who will determine how fast we grow, how many people we will employ, how much service we render and the profit we make. In order to retain these clients, we want to ensure that our good service continues by always giving our clients the best possible value and quality. Working together and working well provides us with a bright future and with the most important commodity, a good reputation.

Total Quality Management

Our company is committed to Total Quality Management (TQM). We feel that not only do our clients benefit from this effort but so do our staff members. All staff members are expected to participate in TQM.

You are encouraged to offer Ideas and/or constructive criticism to your supervisors or managers. We also encourage you to take part in project teams or problem solving teams and cost reduction projects. Your participation in continuous improvement is essential to the success of the company.

Equal Employment Opportunity

Our company is committed to equal employment opportunity. We will not discriminate against staff members or applicants for employment on any legally-recognized basis ["protected class"] including, but not limited to: veteran status, uniform service member status or any other protected class under federal, state, or local law.

In Tennessee, each of the following is a protected class: race; creed; color; religion; sex; age [40 or over]; national origin; physical, mental or visual disability; National Guard membership; and tobacco use during nonworking hours.

You may discuss equal employment opportunity related questions with the President or any other member of management.

Life Threatening Illnesses

Staff Members occasionally develop serious or life threatening illnesses. Our company is committed to supporting such staff members' efforts to continue their normal pursuits, including

working. When necessary and where required by law, the company will provide reasonable accommodations to otherwise qualified individuals with disabilities, including staff members with serious or life threatening illnesses. All staff members, including staff members with serious or life threatening illnesses, must maintain acceptable performance standards.

The company will not seek genetic information in connection with requests for accommodation. A staff member's medical information is confidential. Disclosure of staff member medical information is restricted to limited situations where a manager or supervisor has a job-related reason to know it. Staff Members who disclose staff member medical information without proper authorization will be subject to disciplinary action, up to and including discharge.

Staff Members with questions or concerns about life threatening illnesses are encouraged to contact the President, General Counsel, or Office Manager for information and referral to appropriate services and resources.

A Word about Our Staff Member Relations Philosophy

We are committed to providing the best possible climate for maximum development and goal achievement for all staff members. Our practice is to treat each staff member as an individual. We seek to develop a spirit of teamwork: individuals working together to attain a common goal.

In order to maintain an atmosphere where these goals can be accomplished, we provide a comfortable and progressive workplace. Most importantly, we have a workplace where communication is open and problems can be discussed and resolved in a mutually respectful atmosphere. We take into account individual circumstances and the individual staff member.

We firmly believe that with direct communication, we can continue to resolve any difficulties that may arise and develop a mutually beneficial relationship.

WE STRIVE FOR A FUN ENVIRONMENT, BUT WE DO NOT WANT “FUN” TO CROSS THE LINE INTO DEMEANING BEHAVIOR OR HARASSMENT

Non-Harassment

This is an environment of mutual respect. We prohibit harassment of one staff member by another staff member, supervisor or third party for any reason against any person whether or not based on being a member of a "protected class" including, but not limited to: veteran status, uniform service member status or any other protected class under federal, state, or local law. Harassment of third parties by our staff members is also prohibited.

In Tennessee, each of the following is a protected class: race; creed; color; religion; sex; age [40 or over]; national origin; physical, mental or visual disability; National Guard membership; and tobacco use during nonworking hours.

The purpose of this policy is not to regulate the personal morality of staff members. It is to ensure that in the workplace, no staff member harasses another for any reason or in any manner. The conduct prohibited by this policy includes conduct in any form including but not limited to e-mail,

voice mail, chat rooms, Internet use or history, text messages, pictures, images, writings, words or gestures.

While it is not easy to define precisely what harassment is, it includes: slurs, epithets, threats, derogatory comments or visual depictions, unwelcome jokes and teasing.

Any staff member who believes that (s)he has been harassed should report the situation immediately to one of the following members of management who have been designated to receive such complaints: David A. Pickler, President, at (901) 316-0160 and 1135 Halle Park Circle, Collierville, TN 38017 or his designee. If a staff member makes a report to any of these members of management and the manager either does not respond or does not respond in a manner the staff member deems satisfactory or consistent with this policy, the staff member is required to report the situation to one of the other members of management designated in this policy to receive complaints.

The company will investigate all such reports as confidentially as possible. Adverse action will not be taken against a staff member because he or she, in good faith, reports or participates in the investigation of a violation of this policy. Violations of this policy are not permitted and may result in disciplinary action, up to and including **termination**.

Sexual Harassment

Any type of sexual harassment is against company policy and may be unlawful.

We firmly prohibit sexual harassment of any staff member by another staff member, supervisor or third party. Harassment of third parties by our staff members is also prohibited. The purpose of this policy is not to regulate the morality of staff members. It is to ensure that in the workplace, no staff member is subject to sexual harassment. While it is not easy to define precisely what sexual harassment is, it may include: unwelcome sexual advances, requests for sexual favors, and/or verbal or physical conduct of a sexual nature including, but not limited to, sexually-related drawings, pictures, jokes, teasing, e-mails, text messages, uninvited touching or other sexually-related comments. The conduct prohibited by this policy includes conduct in any form including but not limited to e-mail, voice mail, chat rooms, Internet use or history, text messages, pictures, images, writings, words or gestures.

Sexual harassment of a staff member will not be tolerated. **Violations of this policy may result in disciplinary action, up to and including termination.** There will be no adverse action taken against staff members who report violations of this policy in good faith or participate in the investigation of such violations.

Any staff member who believes that (s)he is a victim of sexual harassment should immediately report such actions in accordance with the following procedure. All complaints will be promptly and thoroughly investigated as confidentially as possible.

Any staff member who believes that (s)he is a victim of sexual harassment or has been retaliated against for complaining of sexual harassment, should report the situation immediately to one of the following members of management who have been designated to receive such complaints:

David A. Pickler, President at (901) 316-0160 and 1135 Halle Park Circle, Collierville, TN 38017 or his designee. If a staff member makes a report to any of these members of management and the manager either does not respond or does not respond in a manner the staff member deems satisfactory or consistent with this policy, the staff member is required to report the situation to one of the other members of management designated in this policy to receive complaints.

The company will investigate every reported incident immediately. Any staff member, supervisor or agent of the company who has been found to have violated this policy may be subject to appropriate disciplinary action, up to and including immediate discharge.

The company will conduct all investigations in a discreet manner. The company recognizes that every investigation requires a determination based on all the facts in the matter. We also recognize the serious impact a false accusation can have. We trust that all staff members will continue to act responsibly.

The reporting staff member and any staff member participating in any investigation under this policy have the company's assurance that no reprisals will be taken as a result of a sexual harassment complaint. It is our policy to encourage discussion of the matter, to help protect others from being subjected to similar inappropriate behavior.

Categories of Employment

INTRODUCTORY PERIOD: Full-time and part-time staff members are on an introductory period during their first 180 days of employment.

During this time, you will be able to determine if your new job is suitable for you and the president will have an opportunity to evaluate your work performance. However, the completion of the introductory period does not guarantee employment for any period of time since you are an at-will staff member both during and after your introductory period.

FULL-TIME STAFF MEMBERS regularly work at least a 36-hour workweek.

PART-TIME STAFF MEMBERS work less than 36 hours each week.

SEASONAL STAFF MEMBERS perform a job for a specified time, normally less than one year. This includes all interns

In addition to the preceding categories, staff members are also categorized as "exempt" or "non-exempt."

NON-EXEMPT STAFF MEMBERS are entitled to overtime pay as required by applicable federal and state law.

EXEMPT STAFF MEMBERS are not entitled to overtime pay and may also be exempt from minimum wage requirements pursuant to applicable federal and state laws.

Upon hire, the Office Manager will notify you of your employment classification.

Immigration Reform and Control Act

In compliance with the federal Immigration Reform and Control Act of 1986 (IRCA), as amended, and any state law requirements, if applicable, our company is committed to employing only individuals who are authorized to work in the United States.

Each new staff member, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. If a staff member is authorized to work in this country for a limited time period, the individual will be required to submit proof of renewed employment eligibility prior to expiration of that period to remain employed by the company.

New Staff Member Orientation

Upon joining our company, you were given this copy of our Staff Member Handbook. After reading this Staff Member Handbook please sign the receipt page and return it to the Office Manager. You will be asked to complete personnel, payroll and benefit forms.

If you lose your Staff Member Handbook or if it becomes damaged in any way, you are able to obtain a replacement copy from the Pickler Companies intranet site, "The Hub."

The President, Director of Operations and Office Manager are responsible for the operations of Pickler Companies. They are a good source of information about the company and your job.

Talk to Us

We encourage you to bring your questions, suggestions, and complaints to our attention. We will carefully consider each of these in our continuing effort to improve operations.

If you feel you have a problem, present the situation to your direct supervisor so that the problem can be settled by examination and discussion of the facts. We hope that your direct supervisor is able to satisfactorily resolve most matters.

If you still have questions after meeting with your direct supervisor or if you would like further clarification on the matter, request a meeting with the Director of Operations. He will review the issues and meet with you to discuss possible solutions.

Finally, if you still believe that your problem has not been fairly or fully addressed, request a meeting with the President. Your suggestions and comments on any subject are important, and we encourage you to take every opportunity to discuss them with us. Your job will not be adversely affected in any way because you choose to use this procedure.

Section 2: Your Pay and Progress

Payday

You will be paid semimonthly on the 15th of the month and the last day of the month for the period that has ended on the 15th of the month or the last day of the month respectively.

When our payday is a holiday, you normally will be paid on the last working day before the holiday. If our payday is a Saturday or Sunday, you normally will be paid on Friday.

You may pick up your paycheck after 8:00 a.m.

Please review your paycheck for errors. If you find a mistake, report it to the Office Manager immediately. The Office Manager will assist you in taking the steps necessary to correct the error.

Paycheck Deductions

The company is required by law to make certain, deductions from your paycheck each pay period. Such deductions typically include federal and state taxes and Social Security (PICA) taxes. Depending on the state in which you are employed and the benefits you choose, there may be additional deductions. All deductions and the amount of the deductions are listed on your pay stub. These deductions are totaled each year for you on your Form W-2, Wage and Tax Statement.

It is the policy of the company that exempt staff members' pay will not be "docked," or subject to deductions, in violation of salary pay rules issued by the United States Department of Labor and any corresponding rules issued by the state government, as applicable. However, the company may make deductions from staff members' salaries in a way that is permitted under federal and state wage and hour rules. Staff members will be reimbursed in full for any isolated, inadvertent, or improper deductions, as defined by law.

Thus, exempt staff members may be subject to the following salary deductions, except where prohibited by state law, but only for the following reasons:

- Absences of one or more full days for personal reasons, other than sickness or disability, if no notice is provided prior to the absence; or
- Absences of one or more full days due to sickness or disability, if there is a plan, policy, or practice providing replacement compensation for such absences; or
- Absences of one or more full days before eligibility under such a plan, policy, or practice or after replacement compensation for such absences has been exhausted; or
- Suspensions of one or more full days for violations of safety rules of major significance; or
- Suspensions of one or more full days for violations of written workplace conduct rules, such as rules against sexual harassment and workplace violence; or
- Repayment of fines levied against the company or advisor because of a registered staff member's failure to meet compliance requirements; or

- Repayment of losses experienced by the company or advisor resulting from the correction of a trading error made by a registered staff member; or
- Payment of actual time worked in the first and last weeks of employment, resulting in a proportional rate of a staff member's full salary; or
- Any unpaid leave taken under the Family and Medical Leave Act.

If questions or concerns about any pay deductions arise, staff members may discuss and resolve them with the Office Manager.

Garnishment/Child Support

When a staff member's wages are garnished by a court order, our company is legally bound to withhold the amount indicated in the garnishment order from the staff member's paycheck. Our company will, however, honor applicable federal and state guidelines that protect a certain amount of a staff member's income from being subject to garnishment.

Direct Deposit

You may have the option of receiving your pay in a payroll check if you are a temporary employee. If you are a full-time, permanent employee you will have your pay deposited into your bank account through our direct deposit program.

Promotions

We believe that career advancement is rewarding for both the staff member and the company. We will promote qualified staff members to new or vacated positions whenever possible.

Job openings may be announced verbally. If you are interested in applying for one of these positions, notify the President.

Pay Advances

Pay advances will not be granted to staff members.

Overtime

There may be times when you will need to work overtime so that we may meet the needs of our clients. Although you will be given advance notice when feasible, this is not always possible. Non-exempt staff members must have all overtime approved in advance by the President.

Non-exempt staff members will be paid at a rate of time and one-half their regular hourly rate for hours worked in excess of 40 hours in a workweek, unless state law provides a greater benefit in which case, we will comply with the state law.

Only actual hours worked count toward computing weekly overtime.

If you have any questions concerning overtime pay, submit your questions to the President.

Section 3: Time Away From Work and Other Benefits

Staff Member Benefits

Our company has developed a comprehensive set of staff member benefit programs to supplement our staff members' regular wages. Our benefits represent a hidden value of additional income to our staff members.

This Staff Member Handbook describes the current benefit plans maintained by the company. Refer to the actual plan documents and summary plan descriptions if you have specific questions regarding the benefit plan. Those documents are controlling.

The company reserves the right to modify its benefits at any time. We will keep you informed of any changes.

Holidays

Our companies observe certain holidays each year for which the office is closed. You are not expected, nor will you be asked to work on the following holidays during the year:

- New Year's Day
- Martin Luther King, Jr. Day¹
- Presidents' Day
- Good Friday²
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Christmas Day

If one of the above holidays falls on Saturday, it normally is observed on the preceding Friday. If a holiday falls on Sunday, it normally is observed on the following Monday.

These observed holidays represent the full list of recognized holidays for which the office is closed. Although no other holidays, federal or otherwise, are observed you may request a day off for any other holiday for any reason using the process outlined below for PTO.

Full-time, exempt (salaried) staff members are eligible for paid holidays immediately upon hire.

¹ Generally, the office is open on Martin Luther King, Jr. Day, and advisors are present and available for meetings, however, as stated previously, attendance is not required or expected on this day, and markets are closed.

² Depending on timing, Good Friday may fall within what is traditionally referred to as "Tax Season." If you are employed by Pickler Accounting Advisors please confirm the work-status for President's Day and Good Friday with your supervisor.

Paid Time Off

Full-time, exempt staff members have unlimited paid time off for vacation, “staycation,” or other personal matters, provided that work-goals, as set by the requesting staff member’s team and/or manager, are achieved continuously.

While paid time off for vacation is unlimited within the scope of a single calendar-year, no request for time off that is longer than ten (10) consecutive, normal business-days will be approved. Any staff member wishing to take time off must submit a request to the designated individuals for their company or division.

We understand that emergencies will happen that require time off with less notice, but under non-emergent circumstances any request for time off must be submitted with ten (10) business days’ advance notice to:

Pickler Wealth Advisors: David Pickler, Katie Pickler, and Cort Winsett
The Pickler Law Firm: David Pickler, Jon Long, and Cort Winsett
Pickler Accounting Advisors -
Collierville: David Pickler, Charles Stanford, and Cort Winsett
Russellville: Kin Campbell, David Pickler
American Public Education: David Pickler

Please submit your request to the identified individual for the desired dates by email, and, if the dates are approved, add the dates to the company’s main calendar. “Unlimited” is not defined nor shall it be interpreted to grant license to any staff member to take any day off without prior notice. If a request is made without proper notice, it will be denied.

We encourage each full-time, exempt employee to take paid time off for Community Engagement. This includes time off for Jury Duty, time off for Voting, and time off for Volunteer Service.

Leave for Illness or Disability

Staff members may take as much time off as is reasonably medically necessary, according to the standards set by medical professionals, when healing from an illness or disability or when tending to an immediate family member’s illness or disability. In the event of an absence related to an illness or disability, full-time, exempt staff members will receive full pay for up to the first thirty (30) days of the absence. However, a doctor’s confirmation of a staff member’s – or staff member’s family member’s – illness or disability will be required for any absence that lasts longer than ten (10) consecutive, normal business-days.

A short-term/long-term disability insurance package is made available to each staff member at the employee’s expense. Should a staff member require more than 30 days to recover from illness or disability, and that staff member has elected to pay for this insurance package, short-term disability insurance will begin paying the staff member 60% of his or her weekly income, up to a maximum of \$700.00 per week, after the 30th day of absence. Short-term disability insurance will continue to pay this amount up to and including the staff member’s 90th day of illness or disability. If a staff member is absent longer than 90 days, and that staff member has elected to pay for the package,

long-term disability insurance will begin paying the staff member 60% of that staff member's monthly pay, up to a maximum of \$5,000.00 per month, beginning the 91st day of illness or disability and continuing for the duration of the illness or disability.

No provision of this Leave for Illness or Disability policy applies or is enforced if it conflicts with or is superseded by any requirement or prohibition contained in a federal, state, or local law or regulation, including but not limited to the Family Medical Leave Act. Anyone with knowledge of such a conflict or potential conflict should contact the President or his designee. Any provision not enforced due to a conflict of law will not void the remainder of the policy, which will continue in full force and effect.

Notwithstanding the above policy, a staff member who is the mother of a newborn child will receive six (6) weeks of paid maternity leave from the date of the child's birth. Any maternity leave taken beyond the initial six (6) week period will be unpaid. A staff member who is the father of a newborn child will be permitted a reasonable period of paid leave from the date of the child's birth, the length of which will be determined on a case-by-case basis by the President.

The coverage and terms of the above-described insurance package are determined by the provider and may be subject to change at the provider's discretion. Refer to the actual plan document and summary plan description if you have specific questions regarding this benefit plan. Those documents are controlling.

Upon a staff member's return to work after an illness or disability related absence, the time that the staff member was absent should be recorded on the company's main calendar.

Employee Birthdays

Employees are encouraged to take a day off for their birthday. This day should be taken *on* their birthday if possible. If their birthday is on the weekend or a day when they cannot take it, then the day off should be taken within that same week.

Employee Anniversary

Recognition of notable anniversaries will be celebrated in five year increments beginning with the employee's five-year anniversary. A dinner for the employee will be celebrated with all staff members.

Medical Insurance

Eligible full-time staff members may enroll in a single, a single plus one dependent, or a family contract immediately upon hire. Eligibility may be defined by state law and/or by the insurance contract.

Information and enrollment forms may be obtained from the Office Manager.

Our company pays the full cost of a single contract. If you elect dependent coverage, you are responsible for paying the difference through payroll deduction.

Participating staff members are also covered under our medical insurance plan's dental insurance and prescription drug programs.

A booklet containing the details of the plan and eligibility requirements may be obtained from the Office Manager.

Refer to the actual plan document and summary plan description if you have specific questions regarding this benefit plan. Those documents are controlling.

Upon discharge you may be entitled to continuation or conversion of the group medical insurance plan in accordance with the terms of the policy and/or applicable state and federal law. For more information, contact the Office Manager.

Dental Insurance

Eligible full-time staff members may enroll in a single, a single plus one dependent or a family contract immediately upon hire.

Information and enrollment forms may be obtained from the Office Manager.

Our company pays the full cost of a single contract. If you elect dependent coverage, you are responsible for paying the difference through payroll deduction.

A booklet containing the details of the plan and the eligibility requirements may be obtained from the Office Manager.

Refer to the actual plan document and summary plan description if you have specific questions regarding this benefit plan. Those documents are controlling.

Upon discharge you may be entitled to continuation or conversion of the group dental insurance plan in accordance with the terms of the policy and/or applicable state and federal law. For more information, contact the Office Manager.

Social Security

During your employment, you and the company both contribute funds to the federal government to support the Social Security program. This program is intended to provide you with retirement benefit payments and medical coverage once you reach retirement age.

Unemployment Insurance

Upon separation from employment, you may be entitled to state and federal unemployment insurance benefits. Information about unemployment insurance can be obtained from the Office Manager.

Workers' Compensation

On-the-job injuries are covered by our Workers' Compensation insurance policy. This insurance is provided at no cost to you. If you are injured on the job, no matter how slightly, report the

incident immediately to the Office Manager and General Counsel. Consistent with applicable state law, failure to report an injury within a reasonable period of time could jeopardize your claim. We ask for your assistance in alerting management to any condition that could lead to or contribute to a staff member accident.

401(k) Qualified Retirement Plan

Our company provides eligible staff members with a 401(k) Qualified Retirement plan which is an excellent means of long-term savings for your retirement. The company's contribution, if any, is determined by the employer on an annual basis.

You can obtain a copy of the Summary Plan Description which contains the details of the plan including eligibility and benefit provisions from the Office Manager. In the event of any conflict in the description of any plan, the official plan documents, which are available for your review, shall govern. If you have any questions regarding this plan, see the plan administrator.

Staff Member Bonuses

The company establishes a yearly bonus pool for the staff to share in if certain firm-wide goals are met. Any bonus paid based on the annual goals will be paid at the end of the calendar-year.

Staff members may receive bonuses from time to time. These are based on individual merit, the company's profitability and any other factor(s) deemed significant by the company. Whether or not bonuses are granted and the amounts granted are within the sole discretion of the president.

Section 4: On the Job

Standards of Conduct

Each staff member has an obligation to observe and follow the company's policies and to maintain proper standards of conduct at all times. If an individual's behavior interferes with the orderly and efficient operation of a department, corrective disciplinary measures will be taken.

Disciplinary action may include a verbal warning, written warning, suspension with or without pay, and/or discharge. The appropriate disciplinary action imposed will be determined by the President or his designee. The company does not guarantee that each disciplinary action will be taken in order, but disciplinary action for the same offense will be progressively more severe.

Among other things, the following may result in disciplinary action, up to and including discharge: violation of the company's policies or safety rules; insubordination; unauthorized or illegal possession, use or sale of alcohol or controlled substances on work premises or during working hours, while engaged in company activities; unauthorized possession, use or sale of weapons, firearms or explosives on work premises; theft or dishonesty; physical harassment; sexual harassment; disrespect toward fellow staff members, visitors or other members of the public; performing outside work or use of company property, equipment or facilities in connection with outside work while on company time; poor attendance or poor performance. These examples are not all inclusive. We emphasize that discharge decisions will be based on an assessment of all relevant factors.

Prior permission must be granted for the consumption of alcohol on work premises or during working hours to be considered "authorized." Only the President has the authority to grant permission for the consumption of alcohol on work premises or during working hours. When authorized, a staff member's consumption of alcohol must be reasonable and moderate. If a staff member is impaired after the consumption of alcohol during a company-sponsored event, whether on or off work premises, and that staff member is unable to obtain alternative transportation, he/she must allow a staff member who is unimpaired to transport him/her home.

Conduct at Our Office

The importance of professional conduct when working in our office cannot be emphasized enough. Professional conduct is a broad term that is open to many interpretations. The following guidelines describe appropriate conduct when at work:

- Long, personal discussions with other personnel are discouraged. Such disruptions of work will only offend other staff members.
- Do not discuss internal affairs with clients.
- Avoid comments or criticisms involving other companies and their particular work or fees.
- Refrain from discussing shortcomings or idiosyncrasies of clients and/or other staff members.
- Avoid conversations involving client matters in all public places.

- Avoid discussing procedural problems with management while clients or other staff members are present.
- Do not borrow money from a client unless the client's business involves lending money.
- Do not solicit clients for charitable donations.
- Accept token gifts from clients only if they are non-monetary and valued at less than \$100.
- Entertain clients only after first receiving approval from the President.

Confidentiality of Client Matters

Our professional ethics require that each staff member maintain the highest degree of confidentiality when handling client matters.

To maintain this professional confidence, no staff member shall disclose client information to other clients, friends, or members of one's own family.

Questions concerning client confidentiality may be addressed with the President or his designee.

Discussions with Clients

When working on an assignment in a clients' office, you may be asked to offer specific suggestions or comments regarding his or her practices. Prior to discussing any suggestions with a client, your recommendations must first be approved by the President.

Care of Client Records

The impression that clients have of our company is based, in part, on the way we care for their records. If we are careless with their files and records, clients may conclude that we have the same attitude toward our technical work. As professionals, we must respect the confidences with which we are entrusted and ensure that client files are handled with care.

With the exception of Portfolio Review folders which we maintain with updated Portfolio Reviews and Financial Plans, we are an entirely digital office. All documentation and forms are scanned into our system and uploaded to our Broker/Dealer when appropriate.

If you are looking in a client's portfolio review file, when possible, obtain all material from client files and then return the material back to the files. Material should be returned in the same condition or better than when it was received.

Under no circumstances will outside requests for client material be fulfilled unless prior written permission is received from the President.

Negligent Job Performance

Any registered staff member who makes unsolicited trades, invests client assets in portfolios, annuities, or funds, or otherwise carries out an investment request for a client must take all necessary care to ensure the investment is carried out properly. If, due to negligence of the staff member, an error is made in the investment of a client's funds, then any expense, fine, or lost commission or fee that results from compliance related actions or corrective actions taken to make

the client whole may require the staff member's participation in the corrective action at the employee's expense and at the President's sole discretion. Repayment will be made by payroll deduction(s) of an amount and over a number of payroll periods determined in the sole and absolute discretion of the President.

Such an error will also result in disciplinary action against the staff member consistent with those actions described in the Standards of Conduct section above.

Any such error must be reported to the President immediately.

Deviations in Client Records

Occasionally you may find what appears to be an obvious clerical or mathematical error on the part of the client. Mistakes of this nature should tactfully be brought to the attention of the appropriate person. When discussing such an error, be certain of the mistake, be careful with whom it is discussed and most importantly, be diplomatic in handling the misunderstanding.

During your career, you may discover or suspect evidence of theft, embezzlement, defalcation or some other irregular practice on the part of the client or client personnel. If such an event occurs, inform the President or his designee immediately. Under no circumstances should you discuss the matter with the client or client personnel.

Attendance and Punctuality

Attendance and punctuality are important factors for your success within our company. We work as a team and this requires that each person be in the right place at the right time.

If you are going to be late for work or absent, you must call the President, or in his absence, his designee, as far in advance as is feasible under the circumstances, but no later than the start of your workday. Barring the employee's complete incapacity, notification given to the President by anyone other than the employee, including any staff member, will not be accepted.

If you are absent for two days without notifying the President or his designee, it is assumed that you have voluntarily abandoned your position with the company, and you will be removed from the payroll.

Personal issues requiring time away from your work, such as doctor's appointments or other matters, should be scheduled during your nonworking hours if possible. It is understood that oftentimes personal appointments can only be made during normal business hours. The use of PTO is acceptable under these circumstances, as long as the lengths and frequency of these appointments are reasonable. We ask exempt staff members to understand that unlimited PTO is a privilege and not a right, and as with any other PTO related absence, the President must be notified of any absence, however brief, that is due to a personal appointment, prior to the staff member's departure.

Business Hours

Because of the nature of our business, your work schedule may vary depending on your job. Our normal business hours are 8:00 a.m. to 5:00 p.m., Monday through Friday. Check with the President or his designee if you have questions about your hours of work.

Meal Time

A one-hour, unpaid meal break may be taken each day by non-exempt employees. Exempt employees may take a one-hour lunch break as well. The team is expected to work together to ensure proper coverage of the office for the greeting of clients and the fielding of phone calls. If scheduling becomes an issue, the President or his designee will deliver a permanent lunch schedule.

Lactation Breaks

The company will provide a reasonable amount of break time to accommodate a female staff member's need to express breast milk for the staff member's infant child. The break time should, if possible, be taken concurrently with other break periods already provided. The company will also make a reasonable effort to provide the staff member with the use of a room or other location in close proximity to the staff member's work area, for the staff member to express milk in private.

No provision of this policy applies or is enforced if it conflicts with or is superseded by any requirement or prohibition contained in a federal, state, or local law or regulation. Anyone with knowledge of such a conflict or potential conflict should contact the President or his designee.

Out-of-Office Work Duties

The company should know your location at all times during business hours. A record of your assignments will be kept, and the President should be notified of your whereabouts when you are away from the office during working hours.

On The Job Training

The President's designee (currently the Sr. Director of Operations, but subject to change at the President's discretion) is responsible for initiating all on-the-job training for staff members within your department. This may include safety training, participation in off-site training and continuing education when necessary for job safety and work performance. Training will be conducted during regular working hours whenever possible.

The company will pay for any required training programs. Training that is required to gain licensing or skills to perform a position that a staff member has voluntarily assumed will be provided to the staff member upon submission of a signed agreement stating that the staff member will reimburse the company for all training expenses if the staff member leaves the company within two years of the completion of training. Staff members may be tested from time to time to evaluate the effectiveness of the training program.

If you have any questions regarding training, please see the President's designee.

Clean Up

At the end of the workday, ten minutes are designated for cleaning your work area. This time is paid.

Access to Personnel Files

Upon written request, you may inspect your own personnel file. Inspections will be held on company premises in the presence of a company official. Contact the appropriate designated record-keeper to arrange a time to view these records. You will be permitted to review records related to your qualification for employment, compensation and disciplinary action. You are not permitted access to any letter of reference maintained by the company. If you disagree with the accuracy of any statement in the records and no correction can be agreed upon, you may submit an explanatory statement, which will be attached to the records. Employees are not allowed to obtain copies of their own personnel file. For more information, contact the President or his designee.

Computer Software Licensing

The company purchases or licenses the use of various computer software programs. Neither the company nor any of the company's staff members have the right to duplicate this computer software or its related documentation. Unauthorized duplication of computer software is a federal offense, punishable by up to \$250,000 fine and up to five years in jail.

The company does not condone the illegal duplication of software. You must use the software in accordance with the license agreement. This policy applies not only to individual desktop computers and laptops but to local area networks as well.

Staff members learning of any misuse of software or related documentation within the company shall notify a member of management. Staff members who reproduce, acquire, or use unauthorized copies of any computer software will be subject to discipline, up to and including discharge.

Client and Public Relations

Our company's reputation is built on excellent service and quality work. To maintain this reputation requires the active participation of every staff member.

The opinions and attitudes that clients have toward our company may be determined for a long period of time by the actions of one staff member. It is sometimes easy to take a client for granted, but if we do we run the risk of losing not only that client, but his or her associates, friends or family who may also be clients or prospective clients.

Each staff member must be sensitive to the importance of providing courteous treatment in all working relationships.

Solicitation and Distribution

To avoid unnecessary annoyances and work interruptions, solicitation by a staff member of another staff member is prohibited while either person is on working time.

Staff member distribution of literature, including handbills, in work areas during the work hours of any staff member involved is prohibited. Trespassing, soliciting, or distribution of literature by non-staff members on these premises is prohibited at all times.

Changes in Personal Data

To aid you and/or your family in matters of personal emergency, we need to maintain up-to-date information.

Changes in name, address, telephone number, marital status, number of dependents or changes in next of kin and/or beneficiaries should be given to the Office Manager promptly.

Care of Equipment

You are expected to demonstrate proper care when using the company's property and equipment. No property may be removed from the premises without the proper authorization of management. If you lose, break or damage any property, report it to the Office Manager at once.

Personal Property

The company is not responsible for loss or damage to personal property. Valuable personal items, such as purses and all other valuables should not be left in areas where theft might occur.

Visitors

If you are expecting a visitor, please notify the Receptionist. All visitors must first check in at the reception area. Visitors are not allowed in any area of the building without being accompanied by an authorized staff member. Under no circumstances will visitors be allowed in confidential, unauthorized or potentially hazardous areas.

Severe Weather

Severe weather is to be expected during certain months of the year. Although driving may at times be difficult, when caution is exercised the roads are normally passable. Except in cases of severe storms, we are all expected to work our regular hours. The President in his sole and absolute discretion may determine for the safety of the team to close the office due to inclement weather. Except for an official closing, time taken off due to poor weather conditions while the business remains open is to be taken as PTO or is unpaid.

If extreme weather conditions require closing of the building, you will be notified by the Office Manager.

Natural Disasters

While some might be extraordinarily uncommon or unlikely, natural disasters, including earthquakes, hurricanes, mudslides, floods and fires are to be expected from time to time. Although driving may be difficult in some areas due to damaged freeways and streets, when caution is exercised the roads are normally passable or alternate routes are available. Except in severe cases, we are all expected to work our regular hours. There is a Disaster Recovery Plan in place, which

details steps that should be taken in the instance of loss of office structure or computer and telecommunication equipment.

Time taken off due to natural disasters while the business remains open is to be taken as PTO or is unpaid.

If extreme weather conditions require closing of the building, you will be notified by the Office Manager.

Personal Telephone Calls

It is important to keep our telephone lines free for client calls. Although the occasional use of the company's telephones for a personal emergency may be necessary, routine personal calls should be kept to a minimum or made using a personal mobile phone.

Personal cellular telephones must be turned off or set to a silent alert while conducting business with our clients or business associates.

Acceptable Use of Electronic Communications

This policy contains guidelines for Electronic Communications created, sent, received, used, transmitted, or stored using company communication systems or equipment and staff member provided systems or equipment used either in the workplace, during working time or to accomplish work tasks. "Electronic Communications" include, among other things, messages, images, data or any other information used in e-mail, instant messages, voice mail, fax machines, computers, personal digital assistants (including Blackberry, iPhone or similar devices), text messages, pagers, telephones, cellular and mobile phones including those with cameras. Intranet, Internet, back-up storage, information on a memory or flash key or card, jump or zip drive or any other type of internal or external removable storage drives. In the remainder of this policy, all of these communication devices are collectively referred to as "Systems."

Staff members may use our Systems to communicate internally with co-workers or externally with clients, suppliers, vendors, advisors, and other business acquaintances for business purposes.

All Electronic Communications contained in company Systems are company records and/or property. Although a staff member may have an individual password to access our Systems, the Systems and Electronic Communications belong to the company. The Systems and Electronic Communications are accessible to the company at all times including periodic unannounced inspections. Our Systems and Electronic Communications are subject to use, access, monitoring, review, recording and disclosure without further notice. Our Systems and Electronic Communications are not confidential or private. The company's right to use, access, monitor, record and disclose Electronic Communications without further notice applies equally to staff member-provided systems or equipment used in the workplace, during working time, or to accomplish work tasks.

Although incidental and occasional personal use of our Systems that does not interfere or conflict with productivity or the company's business or violate policy is permitted, personal communications in our Systems are treated the same as all other Electronic Communications and

will be used, accessed, recorded, monitored, and disclosed by the company at any time without further notice. Since all Electronic Communications and Systems can be accessed without advance notice, staff members should not use our Systems for communication or information that staff members would not want revealed to third parties.

Staff members may not use our Systems in a manner that violates our policies including but not limited to Non- Harassment, Sexual Harassment, Equal Employment Opportunity, Confidentiality of Client Matters, Care of Client Records, Protecting Company Information, and Solicitation and Distribution. Staff members may not use our Systems In any way that may be seen as insulting, disruptive, obscene, offensive, or harmful to morale. Examples of prohibited uses include, but are not limited to, sexually-explicit drawings, messages, images, cartoons, or jokes; propositions or love letters; ethnic or racial slurs, threats, or derogatory comments; or any other message or image that may be in violation of company policies.

In addition, staff members may not use our Systems:

- To download, save, send or access any defamatory, discriminatory or obscene material;
- To download, save, send or access any music, audio or video file;
- To download anything from the internet (including shareware or free software) without the advance written permission of the Systems Supervisor;
- To download, save, send or access any site or content that the company might deem "adult entertainment;"
- To access any "blog" or otherwise post a personal opinion on the Internet;
- To solicit staff members or others;
- To attempt or to gain unauthorized or unlawful access to computers, equipment, networks, or systems of the company or any other person or entity;
- In connection with any infringement of intellectual property rights, including but not limited to copyrights; and
- In connection with the violation or attempted violation of any law.

A staff member may not misrepresent, disguise, or conceal his or her identity or another's identity in any way while using Electronic Communications; make changes to Electronic Communications without clearly indicating such changes; or use another person's account, mail box, password, etc. without prior written approval of the account owner and without identifying the actual author.

Staff members must always respect intellectual property rights such as copyrights and trademarks. Staff members must not copy, use, or transfer proprietary materials of the company or others without appropriate authorization.

All Systems passwords and encryption keys must be available and known to the company. Staff members may not install password or encryption programs without the written permission of the President or his designee. Staff members may not use the passwords and encryption keys belonging to others.

Numerous state and federal laws apply to Electronic Communications. The company will comply with applicable laws. Staff members also must comply with applicable laws and should recognize

that a staff member could be personally liable and/or subject to fine and imprisonment for violation of applicable laws.

Violations of this policy may result in disciplinary action up to and including discharge as well as possible civil liabilities or criminal prosecution. Where appropriate, the company may advise legal officials or appropriate third parties' of policy violations and cooperate with official investigations. We will not, of course, retaliate against anyone who reports possible policy violations or assists with investigations.

If you have questions about the acceptable use of our Systems or the content of Electronic Communications, ask the President, or his designee, for advance clarification.

Social Media

If you in any way identify yourself as an employee of Pickler Wealth Advisors on any social media account, that account must be approved and monitored by the compliance department of Commonwealth Financial Network. Certain posts to an account may also be subject to approval under these circumstances. Please check with the President, or his designee, before you create any account that states who your employer is. The company has in place policies that govern use of its own electronic communication systems, equipment, and resources which staff members must follow. The company may also have an interest in your electronic communications with co-workers, clients, vendors, suppliers, competitors, and the general public on your own time. Inappropriate communications, even if made on your own time using your own resources, may be grounds for discipline up to and including immediate termination. We encourage you to use good judgment when communicating via blogs, online chat rooms, networking internet sites, social internet sites, and other electronic and non-electronic forums (collectively "social media"). The following is a general and non-exhaustive list of guidelines you should keep in mind:

1. Make it clear that the views expressed in social media are yours alone. Do not purport to represent the views of the company in any fashion.
2. Do not disclose confidential or proprietary information regarding the company, your coworkers or the company's vendors and suppliers. Use of copyrighted or trademarked company information, trade secrets, or other sensitive information may subject you to legal action. If you have any doubt about whether it is proper to disclose information, please discuss it with the President, or his designee.
3. Do not use company logos, trademarks, web addresses, email addresses or other symbols in social media. You may not use the company name or other identifying information to endorse, promote, denigrate or otherwise comment on any product, opinion, cause or person.
4. Be respectful of the privacy and dignity of your co-workers. Do not use or post photos of coworkers without their express consent.
5. Harassing, obscene, defamatory, threatening, or other offensive content must be avoided. Harassing or discriminatory comments, particularly if made on the basis of gender, race, religion, age, national origin, or other protected characteristic, may be deemed inappropriate even if the company name is not mentioned. If social media communications in any way may adversely affect your relationships at work or violate company policy, you

may be subject to discipline up to and including immediate termination under various company policies.

6. Ensure that engaging in social media does not interfere with your work commitments.
7. Social media and similar communications have the potential to reflect on both you and the company. We hope that you will show respect for our staff members, clients, affiliates and competitors.

Dress Policy

Staff members are expected to maintain the highest standards of personal cleanliness and present a neat, professional appearance at all times.

Our clients' satisfaction represents the most important and challenging aspect of our business. Whether or not your job responsibilities place you in direct client contact, you represent the company with your appearance as well as your actions. The properly-attired individual helps to create a favorable image for the company, to the public and fellow staff members.

All staff members should wear professional attire. The company allows business casual dress on certain designated occasions and on Fridays. All staff members should use discretion in wearing attire that is appropriate for the office and client interaction. Official Pickler Companies branded clothing may be worn on any “business casual” day and be considered acceptable attire. Shorts are not considered business casual. T-shirts are not considered business casual unless they are Pickler-branded.

Although not considered “business casual” for the purposes of this policy, denim pants may be worn on Fridays by staff members who are not advisors and/or who do not serve in any other client-facing, professional capacity. Denim pants should be of uniform color, appropriate waist height or “rise” (i.e. not cut in a way that reveals any skin or undergarments), and should have no holes or worn spots.

Individuals not in compliance with this policy will be asked to leave the office, if necessary, and change into acceptable attire before continuing the work-day or having any further contact with staff or clients

This dress policy or the definition of “business casual” may be modified at any time at the President’s discretion.

Personal Hygiene

Maintaining a professional, business-like appearance is very important to the success of our company. Part of the impression you make on others depends on your choice of dress, personal hygiene, and courteous behavior. A daily regimen of good grooming and hygiene is expected of everyone. Please ensure that you maintain good personal hygiene habits. While at work, you are required to be clean, dressed appropriately, and well groomed.

Recycling and Waste Prevention

The company is committed to the environment and its future. Therefore, recycling containers are located throughout the building for the collection of recyclable materials. Waste of time, materials and utilities is costly to the company. If you have any waste prevention ideas, please advise the Office Manager in writing.

Reference Checks

Our company will not honor any oral requests for references. All requests must be in writing and on company letterhead. Generally, we will only confirm our staff members' dates of employment, salary history, and job title.

Under no circumstances should a staff member provide another individual with information regarding current or former staff members of our company. If you receive a request for reference information, please forward it to the President, or his designee.

Protecting Company Information

Protecting our company's information is the responsibility of every staff member, and we all share a common interest in making sure information is not improperly or accidentally disclosed. Do not discuss the company's confidential business or proprietary business matters, or share confidential, personal employee information with anyone who does not work for us such as friends, family members, members of the media, or other business entities.

All telephone calls regarding a current or former staff member's position/compensation with our company must be forwarded to the President, or his designee.

The company's address shall not be used for the receipt of personal mail.

Document Retention

The company maintains a formal document retention policy and procedure. The President, or his designee, will explain how that policy applies to you and the work that you perform. You must retain all work products in the manner required and for the time period required by our policy. Never destroy or delete any work product until the retention periods specified by the company's policy have been satisfied. Failure to comply with the company document retention policy and procedure may result in discipline up to and including discharge.

Conflict of Interest/Code of Ethics

A company's reputation for integrity is its most valuable asset and is directly related to the conduct of its officers and other staff members. Therefore, staff members must never use their positions with the company, or any of its clients, for private gain, to advance personal interests or to obtain favors or benefits for themselves, members of their families, or any other individuals, corporations, or business entities.

The company adheres to the highest legal and ethical standards applicable in our business. The company's business is conducted in strict observance of both the letter and spirit of all applicable laws and the integrity of each staff member is of utmost importance.

Staff members of the company shall conduct their personal affairs such that their duties and responsibilities to the company are not jeopardized and/or legal questions do not arise with respect to their association or work with the company.

Outside Employment

We hope that you will not find it necessary to seek additional outside employment. However, if you are planning to accept an outside position, you must notify the President, or his designee, in writing. **All “Outside Business Activities” performed by advisors and/or registered staff members must be reported to and approved by the Company’s broker dealer.**

Outside employment must not conflict in any way with your responsibilities within our company. You may not work for competitors nor may you take an ownership position with a competitor.

Staff members may not conduct outside work or use company property, equipment or facilities in connection with outside work while on company time.

Parking

Free parking facilities are available to staff members. Please do not park in the parking spots directly in front of the building.

The company is not responsible for loss, damage or theft of your vehicle. Therefore, we suggest that you lock your car doors.

Contact with the Media

All media inquiries regarding the company and its operations must be referred to the President. Only the President is authorized to make or approve public statements on behalf of the company. No staff members, unless specifically designated by the President, are authorized to make statements on behalf of or as a representative of the company.

If You Must Leave Us

Should you decide to leave your employment with us, we ask that you provide the President with at least two weeks' advance written notice. Your thoughtfulness is appreciated and will be noted favorably should you ever wish to reapply for employment with the company.

Staff members, who are rehired following a break in service in excess of 30 days, other than an approved leave of absence, must serve a new initial introductory period whether or not such a period was previously completed. Such staff members are considered new staff members from the effective date of their reemployment for all purposes, including the purposes of measuring benefits.

Our company does not provide a "letter of reference" to former staff members. Generally, we will confirm – upon request – our staff members' dates of employment, salary history, and job title.

All voluntarily resigning staff members are expected to complete a brief exit interview with the President, or his designee, prior to leaving.

All company property, including this Staff Member Handbook, must be returned upon discharge. Otherwise, the company may take action to recoup any replacement costs and/or seek the return of company property through appropriate legal recourse.

You should notify the company if your address changes during the calendar year in which discharge occurs so that your tax information will be sent to the proper address.

Section 5: Safety in the Workplace

Each Staff Member's Responsibility

Safety can only be achieved through teamwork at our company. Each staff member, supervisor and manager must practice safety awareness by thinking defensively, anticipating unsafe situations and reporting unsafe conditions immediately.

Please observe the following precautions:

1. Notify the President or Office Manager of any emergency situation. If you are injured or become sick at work, no matter how slightly, you must inform the President, or his designee, immediately.
2. The unauthorized use of alcoholic beverages or illegal substances during working hours will not be tolerated. The possession of illegal substances on the company's property is forbidden.
3. Use, adjust, and repair machines and equipment only if you are trained and qualified.
4. Know the proper lifting procedures. Get help when lifting or pushing heavy objects.
5. Understand your job fully and follow instructions. If you are not sure of the safe procedure, don't guess; ask someone who knows.
6. Know the locations, contents and use of first aid and fire-fighting equipment.

A violation of a safety precaution is in itself an unsafe act. A violation may lead to disciplinary action, up to and including discharge.

Workplace Violence

Violence by a staff member or anyone else against a staff member, supervisor or member of management will not be tolerated. The purpose of this policy is to minimize the potential risk of personal injuries to staff members at work and to reduce the possibility of damage to company property in the event someone, for whatever reason, may be unhappy with a company decision or action by a staff member or member of management.

If you receive or overhear any threatening communications from a staff member or outside third party, report it to the President, or the next person in charge if the communication was made by the President, at once. Do not engage in either physical or verbal confrontation with a potentially violent individual. If you encounter an individual who is threatening immediate harm to a staff member or visitor to our premises, contact an emergency agency (such as 911) immediately.

All reports of work-related threats will be kept confidential to the extent possible, investigated and documented. Staff members are expected to report and participate in an investigation of any suspected or actual cases of workplace violence and will not be subjected to disciplinary consequences for such reports or cooperation.

Violations of this policy, including your failure to report or fully cooperate in the company's investigation, may result in disciplinary action, up to and including discharge.

Workplace Searches

To protect the property and to ensure the safety of all staff members, clients and the company, the company reserves the right to conduct personal searches consistent with state law, and to inspect any packages, parcels, purses, handbags, brief cases, lunch boxes, or any other possessions or articles carried to and from the company's property. In addition, the company reserves the right to search any staff member's office, desk, files, locker, equipment or any other area or article on our premises. In this regard, it should be noted that all offices, desks, files, lockers, equipment, etc. are the property of the company, and are issued for the use of staff members only during their employment. Inspection may be conducted at any time at the discretion of the company.

Persons entering the premises who refuse to cooperate in an inspection conducted pursuant to this policy may not be permitted to enter the premises. Staff members working on or entering or leaving the premises who refuse to cooperate in an inspection, as well as staff members who after the inspection are believed to be in possession of stolen property or illegal substances, will be subject to disciplinary action, up to and including discharge, if upon investigation they are found to be in violation of the company's security procedures or any other company rules and regulations.

No Weapons in the Workplace

Possession, use, or sale of weapons, firearms, or explosives on work premises or while engaged in company business off premises is forbidden except where expressly authorized by the company and permitted by state and local laws. This policy applies to all staff members, including but not limited to, those who have a valid permit to carry a firearm.

Staff members who are aware of violations or threats of violations of this policy are required to report such violations or threats of violations to the President immediately.

Violations of this policy will result in disciplinary action, up to and including discharge.

Receipt of Staff Member Handbook and Employment-At-Will Statement

This is to acknowledge that I have received a copy of the Pickler Companies, LLC Staff Member Handbook as revised on January 7, 2020, and I understand that it contains Information about the employment policies and practices of the company. I agree to read and comply with this Staff Member Handbook. I understand that the policies outlined in this Staff Member Handbook are management guidelines only, which in a developing business will require changes from time to time. I understand that the company retains the right to make decisions involving employment as needed in order to conduct its work in a manner that is beneficial to the staff members and the company. I understand that this Staff Member Handbook supersedes and replaces any and all prior Staff Member Handbooks and any inconsistent verbal or written policy statements.

I understand that except for the policy of at-will employment, which can only be changed by the president of the company in a signed written contract, the company reserves the right to revise, delete and add to the provisions of this Staff Member Handbook at any time without further notice. All such revisions, deletions or additions to the Staff Member Handbook will be in writing and will be signed by the president of the company. I understand that no oral statements or representations can change the provisions of this Staff Member Handbook.

I understand that this Staff Member Handbook is not intended to create contractual obligations with respect to any matters it covers and that the Staff Member Handbook does not create a contract guaranteeing that I will be employed for any specific time period.

THIS COMPANY IS AN AT-WILL EMPLOYER. THIS MEANS THAT REGARDLESS OF ANY PROVISION IN THIS STAFF MEMBER HANDBOOK. THE COMPANY OR I MAY TERMINATE THE EMPLOYMENT RELATIONSHIP AT ANY TIME. FOR ANY REASON. WITH OR WITHOUT CAUSE OR NOTICE. NOTHING IN THIS STAFF MEMBER HANDBOOK OR IN ANY DOCUMENT OR STATEMENT. WRITTEN OR ORAL. SHALL LIMIT THE RIGHT TO TERMINATE EMPLOYMENT AT-WILL NO OFFICER. STAFF MEMBER OR REPRESENTATIVE OF THE COMPANY IS AUTHORIZED TO ENTER INTO AN AGREEMENT EXPRESS OR IMPLIED—WITH ME OR ANY STAFF MEMBER FOR EMPLOYMENT FOR A SPECIFIED PERIOD OF TIME UNLESS SUCH AN AGREEMENT IS IN A WRITTEN CONTRACT SIGNED BY THE PRESIDENT OF THE COMPANY.

I understand that this Staff Member Handbook refers to current benefit plans maintained by the company and that I must refer to the actual plan documents and summary plan descriptions as these documents are controlling.

I have read and understand the Holidays Policy in this Staff Member Handbook.

Initials _____

Date _____

I have read and understand the Paid Time Off (PTO) Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Leave for Illness or Disability Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Standards of Conduct Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Negligent Job Performance Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Attendance and Punctuality Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Dress Policy in this Staff Member Handbook.

Initials _____ Date _____

I have read and understand the Outside Employment Policy in this Staff Member Handbook.

Initials _____ Date _____

If I have questions regarding the content or Interpretation of this Staff Member Handbook, I will ask the President or a member of management.

NAME _____

DATE _____

STAFF MEMBER
SIGNATURE _____