



## ALLIANCE GLOBAL ADVISORS DIVERSITY, EQUITY & INCLUSION POLICY

At Alliance Global Advisors (Alliance), diversity, equity & inclusion (DEI) are central to our business strategy. We are committed to building an inclusive environment for our team in which everyone feels welcome, valued, respected and has equitable access to opportunities. The policy applies to all employees, contractors and anyone conducting work on behalf of Alliance.

Our human capital is the most valuable asset we have – our DEI starts with our people. The collective sum of the individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent that our team invest in their work represents a significant part of not only our culture, but our reputation and company's achievement as well.

### Alliance Responsibilities:

Alliance is a women-owned firm where we embrace and encourage our team's differences in age, color, disability, ethnicity, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make our team unique.

Alliance's diversity initiatives are applicable—but not limited—to our practices and policies on recruitment and selection; training; compensation; professional development and training; promotions; transfers; social and recreational programs; layoffs; terminations; off-boarding; and the ongoing development of a work environment built on the premise of equity.

### Team Member Responsibilities:

All team members of Alliance have a responsibility to treat others with dignity and respect at all times. All are expected to exhibit conduct that reflects inclusion during work, at work functions on or off the work site, and at all other company-sponsored and participative events.

Any team member found to have exhibited any inappropriate conduct or behavior against others may be subject to disciplinary action.

### Discrimination, Harassment and Bullying:

We all have a right to work in an environment free from the demoralizing effects of harassment and unwelcome offensive or improper conduct. Alliance will not tolerate and will actively seek to protect team members from harassment, bullying or conduct that could lead or contribute to harassment.



### Parental Benefits:

Alliance recognizes all federal and state programs related to parental leave and encourages employees, contractors and partners to leverage these programs as parents. Alliance will ensure its work environment is inclusive by providing flexibility to team members who elect to take parental (maternity and paternity) leave. It is important that all caregivers are encouraged to exercise parental leave and any leave of absence related to child illness. We believe that this recognition will make it easier for all team members to benefit from a healthy family life and reduce pressure that a caregiver may experience.

All full-time employees of Alliance Global Advisors will further benefit from a separate Alliance Parental Benefits Policy.

### Flexibility:

Alliance values the professional and personal well-being of its team members. At times, Alliance will extend flexibility (both in terms of offering remote work opportunities and alternative hours) to its team to accommodate important life events.

### Advisory Board:

Alliance is committed to extending our DEI policy to our Independent Advisory Board. Our Advisory Board representation reflects a myriad of diverse backgrounds, cultures and experiences.

### Reporting Inappropriate Conduct:

Team members who believe they have been subjected to any kind of discrimination that conflicts with the company's diversity policy and initiatives should seek assistance from a supervisor.

### Consequences:

Team members who do not comply with this policy and/or are found to have engaged in discrimination, harassment or bullying will be subject to appropriate disciplinary action.

### Reporting and Industry Collaboration:

Alliance will report statistics on its workforce composition to contribute to efforts to improve DEI across the industry at large. When given the opportunity, Alliance will work to foster a more inclusive industry through leadership, mentorship and training.