Policies and Procedures Manual

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SECTION ONE: PURPOSE

We believe in being as transparent and open as possible with our team members, prospective new hires, our members, and the community. As our company has grown, we have slowly developed various policies and procedures for how we run our company. This document is the go-to resource for all of our policies and procedures.

History of XYPN

XY Planning Network was started by Alan Moore and Michael Kitces in April 2014 with the mission of helping financial advisors start and run their own RIA (financial planning firm) to serve Gen X & Gen Y clients. Both Alan and Michael saw a need in the marketplace to provide advisors with a platform; as many wanted to build a business, but weren't sure how to do so.

XYPN's "Family of Companies"

Here at XY Planning Network, we currently have 4 different companies that operate under the XYPN umbrella. We consider ourselves a single company with a single culture, however some of our service lines have different names/brands/legal entities for various reasons. All companies fall under the same policy and procedures, have the same benefits, etc.

XYPN is the parent company, and wholly owns XYIS, FABC and XYTS. Many business activities, such as marketing, finance, operations, and human resources/people are done at the parent company on behalf of the subsidiary service lines.

- XY Planning Network (XYPN) -> The OG, XY Planning Network provides a platform that helps advisors run and grow their own financial planning firm.

- XY Investment Solutions (XYIS) -> XYIS provides an outsourced investment management platform to members of XYPN. This allows our members to offload some of the time consuming work associated with the investment management side of their business, so they can free up time to focus on building their overall business.

- FA Bean Counters (FABC) -> FABC provides bookkeeping services to financial advisors. This allows advisors to outsource their bookkeeping needs so they can focus on running their business.

- XY Tax Solutions (XYTS) -> XYTS provides tax preparation services through members (advisors) of XYPN, to their clients. This allows our members to offer tax preparation to their clients, so they can expand the overall value they provide their clients.

Additionally, Alan & Michael co-founded AdvicePay, a billing and revenue management platform for financial advisors to get paid for fee-for-service financial planning. The AdvicePay team works in the same office, however they do have a slightly different mission, core values, and such.

Core Purpose
    Help people live their great life

Niche Focus
    Platform that supports "fee for service" financial planners

Core Values

1. Do the Right Thing - We always act with the utmost integrity in all our business endeavors. We expect that all of our team members do the right thing, even when the right thing is hard to do. We have a fun, relaxed, t-shirt kind of office, and we are professional. Everything you do in XYPN's name should be okay to put on the front page of a newspaper! It is up to all of us to maintain our individual integrity as well as the integrity of the XYPN brand.

2. Get Sh!t Done - Our diverse strengths and identities cultivate broad innovation. Be creative. Try new things. Beg forgiveness rather than ask permission. Have a plan to measure success and failure, and be ready to own both. It's okay to make mistakes, just learn from them! We look for the 80% solution, then move on.

3. Mission Driven - Our company is built around helping financial planners successfully start, run, and grow their firms. Everything you do at work contributes to that mission. Our team is driven by the desire to be part of something bigger than themselves, that will have an impact far greater than any of us could have on our own.

4. Win Together - Lose Together - The range of available opportunities is unlimited, with room for everyone to succeed. We succeed when we strive for and achieve our goals and mission as a team, not at the competitive expense of others. When we hit our marks, it's as a team. And more importantly, when we fail, it's also as a team.

5. Be Well Being You - Take care of and invest in yourself physically, mentally, emotionally, financially, spiritually, and in your personal relationships. You are at your best, and help others best, when you've built a solid foundation for yourself. We all bring unique identities, experiences, and perspectives that contribute to a rich culture. Embrace your differences and your strengths to grow and succeed, and celebrate and cherish each other's uniqueness as well!

Accountability Chart

At XY Planning Network, we leverage Accountability Charts to ensure we are all clear on who is responsible and accountable for each task in the company. Our most up to date Accountability Chart can be found in your Traction Tools account.

We prefer the accountability chart over the traditional organizational chart. While similar, the accountability chart starts with tasks and responsibilities, and then we assign the best person for the role. This is in contrast to organizational charts, which tend to focus on the person first and their accountabilities second.

We use the term "accountability tree" to describe anyone underneath your position in the accountability chart.

EOS Toolbox

We run our business using the Entrepreneur Operating System (EOS) from the book Traction. The EOS system gives us a toolkit to run our business. It also gives us a common language and norms to fall back on when in doubt. Given that we leverage all of the tools in the EOS, team members hired as, or promoted to, the level of Manager, will be expected to read Traction and become an expert on the EOS Toolbox. All other team members will be expected to read What The Heck is EOS?

<u>People Analyzer</u>
At least once annually (and additionally as needed), managers will evaluate their team members using the People Analyzer. This tool is broken into two primary parts:
- Right Person
    Being the right fit for the company is determined by the team members adherence to our 5 core values. The team member's manager in conjunction with senior leadership will evaluate each team member using the following scale:
    +   Almost always lives this core value
    +/- Sometimes lives this core value
    -   Almost never lives this core value

    Not meeting our core values is a reason for termination. Our requirements are:
    ● No (-)
    ● No more than 2 (+/-)

    If a team member is determined to not be a core values fit at XY Planning Network, we will help them find an opportunity that is a better fit for their core values. Not being a Core Values fit at XYPN doesn't make someone a bad person, simply not a fit here. .

- Right Seat
    Being in the right seat means the team member is ready and able to perform the job duties necessary to be successful in their role. The team member's manager in conjunction with senior leadership will evaluate each team member using the following scale:
    ● Gets It - Do they REALLY understand the job duties and responsibilities?
    ● Wants It - Do they REALLY want the job?
    ● Capacity to do it - Do they REALLY have the capacity to do the job, and if not, can they learn quickly enough?

If a team member is determined to not be in the Right Seat, we will attempt to find a spot for them that is the right seat. If we are unable to do so, we will help them transition into a role at another organization that is a better fit for them..

Employment Policy

Equal Opportunity Employment

XYPN is committed to equal employment opportunities without regard to race, religion, ethnic origin, gender identity or expression, age, physical disability, sexual orientation, marital status, military service, medical history, parental status, or any other status protected by law in the locations where we operate.

Okay, so that's the legal language. Here is our plain English version of our beliefs:
- All are welcome here. This is a safe place, regardless of your identity.
- As stated in our core values, we are most innovative when we are diverse. We welcome and encourage applicants for our jobs and internships that represent any of the above, or any other identity categories.

Initial Employment Period

Montana has some unique laws around employment classifications that you will want to understand. In non-legal terms, you can't be fired in Montana without good cause. We wholeheartedly agree with this stance; we strive to give you all the tools you need to succeed, and we'll always communicate with you about your performance.

State laws do outline probationary periods, which all team members are subject to, which gives you and the company six months to determine if the job is the right fit for you. Here is the legal language:

The probationary period is intended to give new team members the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. We use this period to evaluate team member capabilities, work habits, and overall performance. During the probationary period, the employment may be terminated for any reason that is not illegal or against written policy.

All new and rehired team members work on a probationary basis for the first 6 months after the date of hire. Any significant absence will automatically extend a probationary period by the length of the absence. If the Manager determines that the designated probationary period does not allow sufficient time to thoroughly evaluate the team member's performance, the probationary period may be extended in writing for a specified period. Upon satisfactory completion of the probationary period or at the end of the first 6 months of employment, a team member who receives a successful performance appraisal will be notified by Manager and assigned to "regular" employment classification.

At the start of your employment with XYPN, you will be given a 90 day plan that outlines expectations for your first 3 months on the job. During the 6 month probationary period, managers will meet regularly to review your 90 day plan, make adjustments , recommendations for areas of improvement, make a note of areas you are excelling in, and ensure everyone is on the same page. Our goal is to be clear with expectations so that you and your manager are on the same page of if this company is a good fit for you.

<u>Interns, Part-Time and Temporary Team Members</u>
On occasion, there will be opportunities for internships, part-time employment and temporary project work. These positions are not eligible for the full benefits package of full-time team members. Otherwise, team members with these classifications are just as much a part of our team.
- Temporary Team Members, in which we've contracted with a Temp/Staffing agency may be under certain restrictions or have limitations related to their employment with the agency.

<u>International Applicants</u>
To be considered for employment at XYPN, applicants must be authorized to work in the United States. XYPN will NOT sponsor work visas for foreign applicants.

<u>Departing Team Members</u>
By resignation or termination; will receive their final paycheck via Direct Deposit on the next scheduled payday, unless otherwise required by the state in which they reside. Departing team members may be ineligible for potential bonuses, if their last day is before the end of the applicable period.

Resignation

Team members who wish to resign from their positions are requested to give two weeks written notice to their immediate Manager with the reasons stated therein. That being said, we consider a two week notice a failure of leadership. If you are considering leaving, we ask that you talk to your manager about your desire to apply and interview at another company. We might be able to find a different seat for you that is a better fit, and will take this as an opportunity to evaluate that. If you ultimately decide to leave, we will help with that transition including providing letters of recommendation, reaching out to our network to find a role for you, and anything else you would find helpful. We will not fire someone for telling us that they are thinking of leaving, and want this to be a positive occasion verses a negative one.

Suspension

A team member may be suspended by the CEO without pay for breach of client confidentiality, unsatisfactory job performance, and/or just cause. The CEO must review the facts of the case at or before the next regularly scheduled Executive meeting to either confirm or reverse the suspension. The decision of the Executive team will be given in writing.

Termination

Dismissal will be from the People Analyzer results, unsatisfactory job performance, violation of the Personnel Policies and Procedures, illegal acts, or any other just cause as determined by the CEO. Written notice of termination will be given with reasons for the action stated to the team member. Immediate termination will occur for breach of client confidentiality, theft, and/or just cause.

Disciplinary meetings will be held prior to termination for unsatisfactory performance and may include a Performance Improvement Plan (PIP). Unsatisfactory job performance includes, but is not limited to excessive absenteeism, tardiness, failure to cooperate with other team members, and unauthorized use of company property.

Communication to Team

For the purposes of communicating team member departures to the rest of the team, there will be 2 scenarios:

1. Voluntary Resignation
   a. Leadership team will be informed of the Separation and they will then be required to cascade the communication to their assigned team(s)
2. Involuntary Separation
   a. Leadership team will be informed of the Separation
   b. An email will be sent from Human Resources to the entire team regarding the team member's departure.

Reasons for departure, in both situations, will not be discussed or revealed to the team. We hold this information with the utmost confidentiality and transparency in these cases is limited by our general business practices and sometimes by circumstances and/or law. If the departing team member wishes to reveal information related to their departure, this will be at their discretion. Only extreme situations will be considered for broad communication and transparency to the team.

Personnel Files and Employment Information

All team members have a right of access to their personnel file, with the exception of access to reference checks that were obtained in confidence. The staff member may review the folder in the presence of Human Resources. It is the responsibility of the staff member to provide information to their Manager to keep personal information up to date via their Gusto portal.

A team member's immediate Manager is authorized to verify the following information from Human Resources for their assigned team member(s)

      1) dates of employment;

      2) title;

      3) salary;

      4) coaching/discipline/PIP documentation

      5) results from non-anonymous assessments

Employment Verifications

Creditors, who have obtained written permission from our team members, may inquire with Human Resources to verify employment.

Diversity & Inclusion Policy and Goals

We believe that we are better when our team is diverse, which includes race & ethnicity, gender, background, religious belief, and more. Unique perspectives are valued, and something we actively recruit and hire for. We have set the following diversity goals here at XY Planning Network:

    Conference Speakers
- Keynote –
  - At least 1/3 of keynote presenters will be non-white and ⅓ non-male
  - Our goal is that 50% of our keynote presenters are non-white and non-male
- Content Tracks
  - 50% of speakers are female
  - 20% non-white (not including diversity panel)

    Employment
- 50% female
- 15% of team is non-white by end of 2020
- 20% on team is non-white by end of 2021

    Management (Managers & Directors)
- 50% female
- 10% non-white

    Executive Team (Chief level titles & Managing Directors)
- 50% female - by 2021
- 20% non-white by 2021

    Interviewing

- Our goal is that at least two interviewees in our first-round interview with the director is a non-white candidate

In terms of hiring, we will never hire someone because of the color of their skin or their gender. However, we do understand that not everyone starts in the same place and therefore don't have the same opportunities, such as gaining experience that might be considered valuable or necessary for certain positions. We will give candidates from underrepresented minority populations a chance they might not have received otherwise because we believe it is the right thing to do, and that our company is better when we are diverse. .

Office Policy

Workers Comp
Our workers comp policy covers all team members who are injured in the course of performing their work duties. You must report all incidents to the Director of Operations within 24 hours of the incident.

Office Accessibility
Because our office is located on the second floor of a historic building with no elevator, please let us know if you need accommodations for your interview. Accessibility will not be a consideration in hiring decisions. Our flexibility with work location and the use of technology allows us to easily accommodate team members who may not be able to access our second floor office location.

Opening & Closing of Facility
Opening:
- Unplug all iPads (8) and store chargers and cords in the bottom right-hand drawer of the front desk.
- Check to see if the dishwasher needs emptied. If so, please empty and then flip the tag from "clean" to "dirty". If there are any dirty dishes that were left in the sink, please place them in the dishwasher for the next load.

Closing:
- Plug-in iPads (8) with chargers and cords, that were stored in the bottom right-hand drawer of the front desk at the beginning of the day.
- While plugging in the iPads, please ensure that the front 4 conference rooms (X, Y, P & N) all have the baseboard thermostats turned down to the "Low" setting.
  - Also, please ensure that the front 2 phone booth's (3 & 4) thermostats are turned to the "Off" setting along with their light switches being toggled off.
- Check to see if the dishwasher needs started. If so, please load any dirty dishes that may have been left in the kitchen area and/or sink. Then, add a dishwasher soap pod (located under the kitchen sink), select "Normal" cycle, select "Start", close the door and then flip the tag from "dirty" to "clean".
- Confirm that the 3 booth seating area's lights are turned off, as they are manual switches. Similarly, please turn off the 2 light and 1 fan switches in the kitchen area.
- Check the back patio door, to make sure it's locked.
- You may turn off any other lights, which are on sensors, but it's not necessary. You can just walk out the front or back door and push the light switch at the bottom of

either staircase to turn off the primary lights.

Kitchen & Dishes
You are welcome to use anything in the kitchen to eat snacks or meals. Please place your dirty dishes in the dishwasher immediately after use. Please do not leave your dishes in the sink. If you observe dirty dishes in the sink, please place them in the dishwasher for overnight cleaning. Please clean up after yourself, including the placement of crumbs and trash within the trash can and not just wiping them on the floor or leaving on the table. If appropriate, please use an antibacterial wipe or washcloth to wipe the area in which you used while eating. All perishable food in the refrigerator will be thrown out on Friday afternoons. Please note this when putting food in the fridge.

Company Supplied Food and Beverages
XYPN does supply our team with healthy food and beverage options, as a benefit. Please consume these items with respect to the rest of the team and company, limiting consumption to a reasonable amount and not storing items in your locker, backpack or elsewhere. Purchase of these items must gain prior approval from the Director of Operations, in order for them to be paid with a company credit card or to be eligible for reimbursement, when personal funds are used.

Office Supplies
XYPN will supply the office with reasonable and customary supplies, that allow our team to perform their job duties. In addition, we will make our best efforts to ensure that toiletry and kitchen supplies are stocked adequately. Our contracted custodial service assists us in restocking depleted items, but please inform the Director of Operations if you notice a depleted supply of anything in the office, so additional stock can be ordered if required. Please do not purchase supplies for the office, as this is managed internally. Purchase of supplies without prior authorization will not be reimbursable when using personal funds. You may suggest reasonable and customary supplies by logging them on this list, which will then be considered for purchase.

Trash & Recyclables
We have recycling bins for Aluminum/Tin, #1 & #2 Plastics, Glass and Paper. In addition, there is an area to place broken down cardboard. Please empty any recyclable containers of their contents and rinse them before placing them within the bins. If you observe that a trash can or recycling bin is full, please don't overfill it. Pull the bag instead, tying it and take the full trash bag(s) to our dumpster in the alley and full recyclable bags to the top of the back stairs, where we'll then deliver to a recycling station within the community.

Personal Belongings
Each team member will have access to a locker or basket to place their personal belongings each day and even leave at the office. We are not responsible for lost or stolen items and it's up to you if you'd like to place a lock on your locker. However, if someone believes that there may have been an incident of theft, please inform the Director of Operations. We do not anticipate that there will be unauthorized entrance into one's locker by others without permission by the tenant of the locker. However, if this becomes an issue, we will consider

appropriate actions or alternative solutions at that time. All in all, please respect each other's space and their belongings.

Desks/Work Spaces

All desks/work spaces at the office are open for all team members to use. You are welcome to work at the same space each day or rotate between spaces. Please clean your used space when you leave at the end of each day and either take your belongings with you or place them in your locker.

- As an exception to our open work space, team members may request an assigned work space with the Director of Operations. Specific work spaces will be assigned according to availability and future growth plans within the office space.
  - The only requirement to this will be that the team member must be in the office 4-5 days/week, each week, unless on leave or vacation.

Winter Season

Please place snow covered/wet boots on the slush mats at the bottom of the front stairs. This will help preserve our office space's carpet and keep things dry and clean. We recommend bringing an extra pair of shoes or slippers to the office, in which you can leave in your locker, to switch into when in the office.

Coat/Jacket Rack

There is a coat/jacket rack between the two tall lockers, just outside of the "N" conference room.

Parking

There is a public parking lot (the "Black Lot"), within a block of our office that is available to anyone. It offers free parking for 2 hours on a first come-first serve basis. We have secured a limited amount of parking permits for the lot. While we attempt to provide every team member with access to a permit, we are not always able to do so. If you do not need a parking pass because you walk/bike to work, please allow another team member who drives to work to use the permit. In addition, we will provide these permits to those who regularly frequent the office, 4 to 5 days a week. Please note that the parking permit entitles you to park in the lot, but does not guarantee a spot each day. So if you arrive at work after 9:30am, it's likely that you may not be able to find a spot.

As an alternative parking solution for all team members, whether you have a Black Lot parking permit or not; we will provide team members with a code to use at the Bridger Parking Garage, that's also located within a block of our office. The code is to be used only when frequenting the office for work and not for personal use at any time, as we are billed for usage of the code.

Asset & IT Closet

Our closet within the office, that houses technology related and other assets, is hands off to all team members. It is not a self-serve option for obtaining additional or replacement assets. If new or replacement technology or other assets are required/desired, please visit with the Director of Operations. All items within the closet are inventoried and separated between

XYPN and AdvicePay. We don't wish to lock a closet, cabinet or other storage area and politely request your cooperation. Theft from the closet is a fireable offense.

Visitors

Visitors are welcome to our office and we encourage you to bring them in. However, all visitors are required to check-in at the iPad by the front desk, using the LobbyConnect software. If you have advance notice of a visitor, please enter their name on the Visitor Log calendar within our Google GSuite. This will allow the team member at the front desk to have advanced notice of their visit. Whether scheduled or unscheduled, the team member who is at the front desk will help check them in visitors, in which the hosting team member will then receive a message via email and/or Slack that they have a visitor here to see them. Please come great them promptly in the front waiting area and take them to your preferred meeting location.

Note: Check-in requirements may not apply to large events, where a large number of visitors enter our office space.

Conference/Meeting Room Scheduling

To be respectful of other team members, please reserve rooms for meetings whenever possible, with as much advance notice as possible. This can be done from your Google Calendar, your Teem portal or on the iPad outside the room's door. Please cancel the reservation as soon as you are aware that it has been canceled so the room is available for other team members.

Reservation Etiquette

    Please be specific when naming events. This will help the office to reach out to you if there is a booking conflict. Be aware that there are limited conference rooms and please leave larger ones open for others whom may require more capacity. Exceptions to this may include interviews with applicants, where a larger space may be more accommodating and appropriate for the meeting. For smaller meetings, calls and one-on-ones, consider using one of the smaller conference rooms or one of the phone booths.

How to "End" an event

    Please "End" your events. As you leave the room, particularly if your meeting ends earlier than the scheduled time, please press "End Event", which is below the meeting name, next to the time of the event on the display. Doing so will free-up the room for others to use the room immediately or to book last minute meetings. If you leave at the end time or thereafter, the system will close the event on its own at the scheduled end time.

Room Etiquette

    Please reset the chairs around the table(s), clear the table(s), place the contents of the room where they belong, erase marker board, and place any trash or recyclables into bins within the room or elsewhere in our office space. Upon exiting the room, please prop the door open and turn off the baseboard heater control, if you've adjusted it. Also, if you notice that anything is missing, damaged or requires maintenance within the room, please inform the Director of Operations.

Use of Space for External Events
We are thrilled to host events or allow use of our space to team members or community organizations. To book any of our conference/meeting rooms, the kitchen/lounge/outside area, or the office as a whole for an event, please inquire with the Director of Operations to confirm availability, properly reserve the requested space(s) and to coordinate logistics around the event.

Dress code
While at the office, feel free to wear whatever you are comfortable in. If you're comfortable, we are comfortable. When attending an XYPN event (XYPN conferences, XYPN meetups, conferences XYPN is exhibiting at), please wear an XYPN logoed shirt with jeans or better, along with comfortable footwear.

Pets in the Office
Our office is animal-friendly. You are welcome to bring your well-behaved furry family member to the office with you. Obviously, they need to be of the non-barking variety to keep the office a comfortable place to work for everyone. Note this may be subject to change based on allergies of team members in the office and/or limitations of our leased office space.

Children in the Office
We understand that sometimes you will want or need to bring your child(ren) with you to the office. You are absolutely welcome to bring them. Whether it be because your babysitter canceled, or you're just missing them that day, they can come along. Please know that our team loves kids, and might come to hold your baby or play with your kids :-)

Nursing Mothers
We have a dedicated lactation room available in our office to provide a private place for mothers to pump and/or nurse their baby. Nursing mothers are welcome to use the room whenever they need. We were not able to install a sink in the lactation room, but there is a sink in the childcare room and in our kitchen that can be used. There is a refrigerator in the lactation room for storage of milk and pumping supplies.

Alcohol Usage
Alcohol may be consumed at the office and during work events. However, we ask that you be responsible and drink in moderation. Team members are asked to limit themselves to whatever level of alcohol allows them to remain in control while at the company event, to include but not limited to: events at our office, off-site team events, XYPN Live, member focused events, or any other event with team members and/or members present.

While it is fun to go out with team members and drink at a bar after your work day ends or a company event; this is a time when alcohol consumption can lead to poor choices that may have an impact on your employment at XY Planning Network, or at the very least, the perception team members have of you. We ask that you always represent XYPN in a positive light, and getting drunk is not a way to do that. We don't want to be parental here, but we do have a few guidelines for you to follow:
● Managers are not permitted to become intoxicated with their direct reports or those

within their accountability tree. You have have a drink or two, just don't get stupid.
- Drunken sexual encounters with team members, even if allowable under our relationship policy, are strongly discouraged. These never end well.
- If you become intoxicated, whether at the office or a work event or not, do not drive. Driving drunk is literally one of the dumbest things you can do. A DUI conviction, whether coming from a work event or not, is a fireable offense at XY Planning Network. It simply will not be tolerated. If you become intoxicated at a work event, we cover the cost of an Uber/Lyft/Taxi to get you home.

Being under the influence of alcohol will not be a mitigating factor for consideration if you are reported to have violated any policy in this handbook, to include but not limited to: relationship policy or anti-harassment policy.

Within our office, we do have a kegerator onsite (that may or may not be used to dispense alcoholic beverages) in addition to bottles and/or cans of alcoholic beverages in our refrigerator. Our expectations around consumption are the same as outlined above. In addition, if any of our team members whom are not of legal consumption age per law choose to consume any alcoholic beverages at work or at work-related events; this will be a fireable offense. Similarly, if anyone that is of legal consumption age provides alcohol to a minor; this will also be a fireable offense.

Tobacco & Drug Usage
XY Planning Network is committed to the health of our team members, as evidenced by our core value, Be Well Being You. Therefore, XYPN maintains a tobacco and drug free workplace. Tobacco and illegal drugs are prohibited in any facilities or vehicles. This doesn't apply to prescription drugs. Smoking of any kind is prohibited at or near the workplace, including our outdoor patio area. Coming to work under the influence of drugs is prohibited.

Personal Conduct Policies

Anti-harassment Policy
Introduction
Everyone at XY Planning Network has a responsibility to prevent and stop harassment. No matter the method of communication, it is expected that everyone will contribute to an inclusive and collaborative working environment, and respect each other at all times. Should you become aware of or witness any form of harassment or behavior that violates this policy or our company values, please report the incident directly to the Chief Executive Officer (Alan Moore) immediately for thorough investigation. If you aren't sure if something is a violation, or doesn't seem "that bad", please still report it. It is better for us to know and find out it wasn't a violation than for a violation to go unreported. Any incidents involving the Chief Executive Office should be reported to another member of the Executive team which currently includes Kasia and Michael Kitces. Team members will not be fired or reprimanded in any way for coming forward with accusations of misconduct.

Scope
This policy applies to all team members employed by any entity of XY Planning

Network, whether contractor or employee. There are local labor laws in every country, and in the case of the United States, state laws that must be followed when handling, reporting and investigating incidents of harassment. All team members, managers, and leaders will be subject to disciplinary action, up to and including termination, for any act of harassment they commit.

Types of Harassment

The following are considered forms of harassment and will not be tolerated by XY Planning Network. It includes, but is not limited to:

Sexual Harassment

Sexual harassment is considered unwelcome conduct of a sexual nature that is sufficiently persistent or offensive enough to interfere with the receiver's job performance or create an intimidating, hostile, or offensive working environment.

Sexual harassment encompasses a wide range of conduct. Examples of misconduct include, but are not limited to, the following actions:

- Physical assaults or the attempt to commit an assault of a sexual nature. This physical conduct can include touching, pinching, patting, grabbing, brushing against, tickling, or poking another team member's body.
- Unwelcome sexual advances, propositions or other sexual comments, such as sexually oriented gestures, noises, remarks, jokes, or comments about a person's sexuality or sexual experience.
- Preferential treatment or promises of preferential treatment to a team member for submitting to sexual conduct, including soliciting or attempting to solicit any team member to engage in sexual activity for compensation or reward.
- Subjecting, or threats of subjecting, a team member to unwelcome sexual attention or conduct or intentionally making performance of the team member's role more difficult because of that team member's sex.
- Creating displays, communications, or publications including content of a sexually offensive nature.
- Purposely misgendering people, consistently referring to someone as 'he' after repeated requests to call someone a 'she' or vice versa.

Sexual harassment is considered a form of team member misconduct and sanctions will be enforced against individuals engaging in sexual harassment, and against supervisory and managerial personnel who knowingly allow such behavior to continue and/or fail to report incidents according to procedures outlined in this document. Any retaliation against an individual who complain of sexual harassment or who testify or assist in any proceeding under the law is unlawful and against XY Planning Network policy.

Reporting Alleged Harassment
- Any individual who believes they have been the target of harassment of any kind is encouraged to immediately and directly address the harasser, letting them know that their behavior is unwelcome, offensive, and must stop immediately.
- If they do not wish to address the harasser directly or the behavior doesn't cease, they should report the misconduct to the Chief Executive Officer.
- Once reported, an impartial investigation will be conducted by the Chief Executive Officer or by an independent third party, depending on the severity and circumstances of the complaint.
- Individual(s) reporting an incident or pattern of behavior will be asked to provide a written account of any action(s) causing concern, dates and times such actions occurred, and the names of anyone involved, including participants and witnesses. All complaints or concerns of alleged harassment or discrimination will be taken seriously and handled confidentially.
- To report an incident, email the CEO at alan@xyplanningnetwork.com or send a Slack direct message to schedule a meeting.

The Role of Managers

If managers become aware of misconduct, they must deal expeditiously, seriously, confidentially, and fairly with any allegations, whether or not there has been a written or formal complaint made to the CEO. Informed managers are expected to:
- Take all complaints or concerns of alleged harassment seriously, no matter how minor or who is involved.
- Ensure that any form of harassment or misconduct is immediately reported to the CEO.
- Take appropriate action as agreed upon with the CEO to prevent retaliation or the alleged misconduct from recurring during and after an investigation.

Managers who knowingly allow or tolerate any form of harassment or retaliation, including the failure to immediately report such misconduct to CEO, are in violation of this policy and subject to disciplinary action themselves, including possible termination.

The Role of Team Members

All team members have a responsibility to help create and maintain a work environment free of bullying and harassment and can help by:
- Being aware of how their own behavior may affect others, and changing it if necessary
- Treating their colleagues with dignity and respect
- Taking a stand if they think inappropriate jokes or comments are being made to others
- Making it clear to others when they find others' behaviors unacceptable
- Intervening, if possible, to stop harassment or bullying from occurring
- Reporting promptly to the CEO any incident of bullying or harassment witnessed by them.

The Role of CEO

The CEO is responsible for:
- Ensuring that any individual filing a complaint and any accused individual(s) is made aware of the seriousness of the alleged misconduct.
- Explaining XY Planning Network's no-tolerance harassment policy, and investigation procedures, to all individuals included in a complaint.
- Arranging for an immediate investigation of alleged misconduct, the preparation of a written report summarizing the results of the investigation, and making recommendations for remediation to designated company officials.
- Notifying appropriate legal authorities when criminal activities are alleged.
- Exploring informal means of resolving potential harassment if a written (formal) complaint is not made when verbal allegations are shared.

Classification of disciplinary action

All team members, managers, and leaders will be subject to disciplinary action, up to and including termination, for any act of harassment they commit. Although disciplinary action will be specific to each case, it can generally be classified into 4 levels. Possible punishments are listed below each level:

Level 1

First time occurrences of inappropriate behavior. An act out of character. After formal investigation, coworkers still feel comfortable working with the offending party.
- Formal apology towards inflicted parties

Level 2

Recurring socially inappropriate behavior. Coworkers feel uncomfortable working with the offending party due to behavior.
- Unpaid suspension - 1-4 weeks
- Formal apology towards inflicted parties
- Written admonition in delinquent's file
- Potential transfer to another team
- Potential for termination

Level 3

Major infraction (or retaliation regarding a prior infraction), or recurring socially inappropriate behavior after a written admonition.
- Termination of employment

Level 4

Serious cases, including any criminal offence.
- Termination of employment
- Reported to the Police/Authorities

Termination guidelines

The following guidelines will be used in determining termination of a team member:
- Repeated Level 1 infractions in less than 1 year
- Any subsequent infraction within 3 years of a Level 2 infraction
- One Level 3 or Level 4 infraction

Training & Guidance

 Training and guidance on understanding, preventing, and dealing with discrimination and sexual harassment will be provided to both managers, and team members. This training will be given annually or as when new legal requirements are introduced.

Vendors & Members

 If you experience harassment at a conference, please report this to your manager and/or HR immediately. If you are working in an exhibit booth, it can feel very vulnerable as it's hard to get away from the situation or to say something back to a potential buyer. A few pointers on this:

- You have permission to lose a sale in order to shut down someone being inappropriate
- If you need help, ask the people around you, such as attendees or nearby vendors, for assistance
- You are NOT expected to go out after hours with vendors, prospects, or members. We encourage you to shut it down for the evening whenever you feel appropriate, and do not feel pressured to drink or eat with anyone
- If a vendor acts inappropriately, a member of our executive team will reach out to the executive team at their company to ensure the matter is dealt with immediately. This will be subject to you agreeing for us to call, as we will not violate your privacy without your permission
- If a member acts inappropriate, a member of our executive team or the Director of Members services will contact the member to handle the situation. As noted above, this will only be done with your express permission

Relationship Policy

Given how much time we spend at work, we understand that many relationships begin in the workplace. We want to provide a safe and welcoming environment for relationships to flourish, while also protecting our company culture and maintaining a safe and comfortable environment for team members in the process.

Relationship Restrictions

 Due to Montana laws, the following rules do not apply to couples that are legally married, have expressed their intent to marry (engaged), or have been in a consistent & committed relationship for at least 2 years (24 months).

 Engaging in a sexual and/or emotional relationship with any team member above or below you in your accountability tree is not permitted. We believe the power dynamics of being in a relationship with someone whom you hold power over (or who holds power over you) in terms of promotion, duties and responsibilities, and performance evaluation, creates a negative environment for both of those team members as well as their coworkers.

 While we do not outright ban it, we strongly discourage team members from engaging in a relationship with a co-working peer, which we define as another team member in the same weekly Level 10 meeting. We expect all of our team members to act in a

professional manner, so if you choose to engage in a relationship with a co-working peer, your manager will keep a close eye on performance and conduct to ensure the relationship is not interfering with your ability to contribute to the business.

Team members with the title of Managing Director, Vice President, or Chief are not allowed to engage in a relationship with anyone at the company

If you do engage in a relationship with someone in your accountability tree, even in a one-time instance, it must be reported to your manager and the CEO within 2 business days. The CEO and your manager will determine if reassigning you or the other party is appropriate. Termination of the managing team member is possible depending on the circumstances.

It is expected that your relationship will not affect the workplace. If this becomes an issue, your Manager and leadership teams will become involved to determine the best course of action. If you work in the same department, one (or both) of you will be shifted into another department as needed. If you and your partner (or previous partner) aren't able to work together, one (or both) of you may be asked to leave the company, or transition to another service line to reduce conflict. Please note that allowing personal relationships to disrupt the company workplace is a fireable offense.

Relationships with peers or co-workers is permissible assuming it does not violate one of the above policies (someone above or below you in your accountability tree,or a co-working peer in a Level 10 meeting with you). We ask that all intercompany relationships be disclosed to your manager and HR so that we are aware of potential issues we could create, such as promoting one of you into the other's accountability tree.

If you are unsure if a relationship would be permitted, please speak directly with your manager or the CEO, preferably before asking them on a date or engaging in a sexual relationship.

Asking for a date
Team members are allowed to ask other team members that are not subject to the above restrictions to go on a date with them. The following rules apply:
- You may only ask once – if turned down, you are not permitted to ask again… EVER. They can ask you at a future date if they so choose, given they will be aware of your intent.
- The following responses would qualify as being turned down:
  - "No"
  - "I'm not interested"
  - "No, I'm busy"
  - Anything other than "Yes"
- If you are unsure if the answer is no, then the answer is no.
Asking multiple times would constitute a Level 1 anti-harassment infraction and be subject to our anti-harassment policies.

<u>Anti-Discrimination Policy</u>
Any form of discrimination towards an individual is strictly prohibited. Types of discrimination may include:
- Age
- Disability
- Race; including color, nationality, ethnic or national origin
- Religious belief or lack of religious belief
- Life expectancy
- Sex
- Sexual orientation
- Transgender status

If you believe you have been discriminated against or witnessed discriminatory practices, please contact the Chief Executive Officer to initiate an investigation into the behavior.

<u>Bullying/Workplace Violence Policy</u>
XY Planning Network does not tolerate violent acts or threats of violence. The company will not tolerate fighting, bullying, coercion, or use of abusive or threatening words directed to, about, or against a co-worker, lead, manager, executive, candidate, client/customer or vendor. No individual employed by XY Planning Network should commit or threaten to commit any violent act or discuss committing such offenses, even in a joking manner.

<u>Retaliation Policy</u>
Retaliation of any nature for reporting any type of incident will not be tolerated. If you believe you have been retaliated against, please contact the Chief Executive Officer to initiate an investigation.

<u>Public Intervention</u>
If you see something, please say something. If someone messes up, people are encouraged to speak up publicly and within the moment, in order to let that person and others know that what happened is not inclusive behavior. This makes for a situation from which all parties can learn, and is one which promotes understanding. Additionally, it makes it possible for someone to de-escalate the situation by correcting themselves and apologizing.

This does not ensure there will be no consequences. However, it will greatly reduce the chance of escalation, and has the potential to return a situation to once again become comfortable and inclusive.

Team Member Code of Conduct Policy

Policy brief & purpose
> Our team member Code of Conduct company policy outlines our expectations regarding team members' behavior towards their colleagues, Managers and overall organization. We promote freedom of expression and open communication. But we expect all team members to follow our code of conduct. They should avoid offending,

participating in serious disputes and disrupting our workplace. We also expect them to foster a well-organized, respectful and collaborative environment.

Scope

This policy applies to all our team members regardless of employment agreement or rank

Policy elements

What are the components of a team member Code of Conduct Policy? Company team members are bound by their employment agreement to follow our team member Code of Conduct while performing their duties. We outline the components of our Code of Conduct below:

Compliance with law

All team members must protect our company's legality. They should comply with all environmental, safety and fair dealing laws. We expect team members to be ethical and responsible when dealing with our company's finances, products, partnerships and public image.

Respect in the workplace

All team members should respect their colleagues. We won't allow any kind of discriminatory behavior, harassment or victimization. Team members should conform with our equal opportunity policy.

Protection of Company Property

All team members should treat our company's property, whether material or intangible, with respect and care.

Team members:

- Shouldn't misuse company equipment or use it frivolously.
- Should respect all kinds of incorporeal property. This includes trademarks, copyright and other property (information, reports etc.)

Team members should use them only to complete their job duties. Team members should protect company facilities and other material property (e.g. company issued laptops) from damage and vandalism, whenever possible.

Professionalism

All team members must show integrity and professionalism in the workplace

- Corruption
  - We discourage team members from accepting gifts from members, and prohibit gifts from partners or vendors that are being used to solicit contracts, favorable treatment, or anything else that feels off. If you wouldn't be comfortable telling the CEO of what you're doing, don't do it. If you're not sure, talk to your manager. We prohibit bribery for the benefit of any external or internal party.
- Job duties and authority

- All team members should fulfill their job duties with integrity and respect toward customers, stakeholders and the community. Managers mustn't abuse their authority. We expect them to delegate duties to their team members taking into account their competences and workload. Likewise, we expect team members to follow team leaders' instructions and complete their duties with skill and in a timely manner. We encourage mentoring throughout our company.
- Absenteeism and tardiness
  - Team members should follow their schedules.
- Conflict of interest
  - We expect team members to avoid any personal, financial or other interests that might hinder their capability or willingness to perform their job duties.
- Collaboration
  - Team members should be friendly and collaborative. They should try not to disrupt the workplace or present obstacles to their colleagues' work.
- Communication
  - All team members must be open for communication with their colleagues, Managers or team members.
- Benefits
  - We expect team members to not abuse their employment benefits. This can refer to time off, insurance, facilities, subscriptions or other benefits our company offers.

Disciplinary actions

Our company may have to take disciplinary action against team members who repeatedly or intentionally fail to follow our code of conduct. Disciplinary actions will vary depending on the violation.

Possible consequences include:
- Demotion.
- Reprimand.
- Suspension or termination for more serious offenses.
- Detraction of benefits for a definite or indefinite time.

Outside business activities

Any work done outside of your role at XY Planning Network that might conflict with your role must be disclosed to your Manager and HR before work is started. If you are interested in starting a side hustle to earn money on the side, that's okay, but please tell us first so we can ensure there is no conflict of interest.

Technology Policies

<u>Computer Usage Policy</u>
All team members will be issued a new MacBook Pro laptop when joining the company. The laptop will be equipped with antivirus software and the ability for us to push applications and updates to your computer without any action on your behalf. We do not monitor your computer usage. We simply have the ability to keep your technology up to date. Computers are XYPN property and, as such, if a team member's employment status is terminated by either party, the computer must be returned to XYPN.

Technology Refreshes
> XYPN full time team member's computers will be updated approximately every 3 years. Computer replacement on a shorter cycle will be addressed on a case by case basis.

Basic Care
> It is the team member's responsibility to care for their company-owned MacBook and other related assets; including chargers, cables, adapters, etc. We ask that you please not place any decorative stickers directly on your machine or otherwise deface the property of XYPN. Stickers may be adhered to protective covers. Also, please take caution when eating and drinking near your MacBook, as crumbs can find their way in between the keys on your keyboard and damage the machine. Accidents happen and in the event that you drop or spill liquid on your MacBook, please inform the Director of Operations as soon as you can to discuss next steps.

Accessory Replacement
> XYPN will replace defective chargers and/or charger cables. However, lost and/or damaged chargers and/or charger cables (from abusive use, pet chewed your cable, dropped your charger block, etc.) will only be replaced once. Thereafter, it will be the responsibility and non-reimbursable expense of the team member to replace their company-owned, damaged assets.

Computer Maintenance & Repair
> All new MacBooks are purchased with AppleCare protection. In the event that AppleCare will not cover maintenance or repair on the MacBook, XYPN will arrange and pay for maintenance or repair of the MacBook. Please immediately inform the Director of Operations if maintenance or repair is required on your MacBook. In most instances, we will provide you with a loaner computer to use while yours is being worked on or repaired. Unauthorized maintenance and repairs of XYPN property will not be reimbursable.

Updates
> It is expected that team members will strive to update computer software (OS, browsers, etc.) on a regular basis and as prompted by the vendor.

Prohibited Use
>Team members shall not use their computer for any illegal or illicit activities. Activity includes, but is not limited to, gambling, pornography, and piracy.

Internet/Wifi
When at the office, preconfigured internet/Wifi access on your MacBook will connect you to the appropriate access point on our network. We will also maintain a backup internet access point, in case of downtime by the primary provider or in an emergency situation.

Guest or personal device (smartphone) Wifi access is available via the Guest access point. The password for the Guest Wifi is: **bozemanwifi**
When not in the office, always use caution when connecting to public networks.

Prohibited Use
>Team members shall not use our internet/Wifi for any illegal or illicit activities. Activity includes, but is not limited to, gambling, pornography, and piracy.

Security
Bitdefender Virus Scanner Plus is installed on all MacBooks, providing continuous scanning. In addition, Bitdefender's TrafficLight extension is installed on your MacBook's default browser, Google Chrome.

Overview of technology platforms
XY Planning Network and its service lines utilize a variety of software products to conduct business, both internally and externally with the members of our network and the clients of our service lines. Some of the primary technology platforms include, but are not limited to:
- LastPass - Password vault for securely storing passwords and generating secure passwords
- Apple App Store - Necessary to install required apps that are compatible with MacOS
- Google GSuite - A cloud environment for file storage, email hosting, calendars and suite of applications (Docs, Sheets, Slides, etc…)
  - Each GSuite account includes 30GB of storage within "My Drive". This provides ample storage for document/project drafts of any file type, where the purchase of additional storage should not be required. Files and folders should instead be placed on Drive under the "XYPN" or "XYPN Primary" destinations, in an appropriately categorized folder. This will then allow the appropriate team members to be able to view and/or edit our work files.
- Slack - A cloud-based instant messaging platform that we use on a daily basis to communicate internally
  - Slack Etiquette Video
  - Requests to add integrations or similar will be evaluated by the Director of Operations prior to approval. These may be rejected due to security, cost or other concerning factors.

Travel & Expense Policy

XYPN will cover work related expenses as outlined below.

General
1. Team Members who have been assigned company credit card, should use it for all reasonable and customary business-related expenses, except personal items and any meals (meals when traveling will be Per Diem).
    a. When utilizing the company credit card for purchases, make a copy/picture of all receipts to be uploaded when submitting expenses. Write the category of expense at the top of the receipt and submit it with your expense report.
    b. Note on M&E: please include the names of people present and topic discussed.
2. If you're unsure of making any purchase on behalf of the company at any time, whether with a company credit card or with personal funds to be reimbursed, we ask that you please confirm the purchase and price with your Manager or the Director of Operations.
3. All reimbursable expenses should be submitted using this Expense Report form within 30 days of purchase/travel (ideally much sooner).
4. Reimbursements will be paid out on a monthly basis.
    a. Expenses received by the 10th will be paid on the 15th of the same month's paycheck. Requests to be reimbursed on alternate pay dates will be reviewed on a case-by-case basis, but may be justified by larger expense amounts, which were paid with one's personal funds.
    b. Reimbursements arrive as part of your paycheck deposit.

Office Space Rent
Remote team members, who choose to lease office space outside of their home, such as in a coworking space, may do so and receive assistance from XYPN.
- The lease must be in the team member's name and not XYPN's name or one of its service line's names.
- Once a signed lease has been provided to the Director of Operations, qualifying team members may request monthly rent payment reimbursements up to $500/month or the total monthly rent amount, if less. If you're paying for a coworking space on a monthly basis and no lease is required, then there is no need to supply such document type.
- If the total cost of the monthly office space expense is more than $500, then the reimbursable amount can then be used towards the total monthly amount.
- This supplemental employer assistance is only valid towards expenses related to the leased space outside of their home, which must be an inclusion in the payment to the landlord/coworking company.

- We realize that your landlord/coworking company may include other expenses in addition to just the base rent amount, which may include custodial fees, supply fees, telecom fees, etc…. These items in addition to your base rent that total $500 or less, will be eligible for reimbursement to you, following your payment and completion of an [Expense Report](#) with inclusion of the appropriate documentation (paid receipt, itemized paid invoice, etc…)

Travel

XYPN will pay for all applicable travel expenses when you are traveling for work related purposes. XYPN will pay for a coach/main cabin flight, hotel, Uber/taxi/rental car, and a per diem for food. We ask that you be respectful of our budget, and opt for lower cost options when available. If you are traveling or living internationally and need to return for an event or meeting, you will be expected to cover the cost of your flight back to the US, and XYPN will cover the cost of your flight from there to the event.

1. Airfare
    a. Make every attempt to purchase plane tickets at least a month in advance.
    b. Purchase coach/main cabin class ticket. Upgrades will be at the expense of the team member.
    c. For changes in itinerary due to business related issues, XYPN will cover change fees. For changes to flight due to personal reasons, mistakes made during purchasing, etc., team member will be required to cover the change fee. For exceptional circumstances (i.e. family emergency), exceptions to this policy will be made on a case-by-case basis.
    d. For flights, we ask that you book the least expensive option with a couple of caveats:
        i. Book direct flights whenever possible. It is okay to spend a little more to fly direct, or with 1 layover. You don't have to book a cheap 2-3 layover flight.
        ii. You are not required to fly Frontier, JetBlue, Spirit, Allegiant, or any other small airline. While they may be cheaper airlines, they tend to have more limited options if you have an issue with your flight. You should book on Delta, United, American, Alaskan, Southwest, or similar.
2. Parking
    a. When flying, the cost of parking your vehicle in the Economy lot at the airport is reimbursable. Premium parking is not to be used, unless prior authorization is obtained.
    b. Additionally, parking at a hotel or elsewhere, when traveling by car, is reimbursable as long as Premium parking services are not utilized.
3. Mileage

    a. Business travel requiring the use of your personal vehicle, outside of your local area (50 miles from your office or house - (only for remote team members), will be reimbursed at the published [IRS recommended rate](#).

    b. Do not put fuel on a company card or submit fuel expenses for reimbursement, as the IRS published reimbursement rate covers this expense as a part of your mileage reimbursement.

4. Rental Cars & Taxis

    a. Consider parking fees, gas prices, etc. when determining if you need a rental car or if you could just as easily Uber, Lyft, taxi, hotel shuttle, metro train, etc.

    b. Purchase gas using a company card or expense on a personal card. (Do not track mileage, or get reimbursed using the IRS rate.)

    c. If utilizing a taxi service (including Uber, Lyft, etc.), utilize a company credit card if you have one. In any case, ensure you maintain your receipt to submit for expenses, if paying with personal funds.

5. Hotels

    a. Please look to find a reasonably priced hotel. Discount motels are not required. Average price will vary by geographical location, but if you have a question about the price of the hotel, seek guidance from your Manager.

6. Per Diem

    a. A Meals and Incidentals Expenses (M&IE) of $50/day will be paid for every full day of travel on company business.

        i. During travel, do not put personal meals on the company card. Reimbursement will be at the flat rate described above, and is part of the expense report, where you will select the quantity of each applicable meal.

    b. If meals are provided for you by XYPN, an XYPN partner or as part of an XYPN function, you will omit that particular meal(s) from your daily Per Diem count and a discounted per diem rate will be used with the following cost breakdown.

        i. Breakfast - $13.00

        ii. Lunch - $14.00

        iii. Dinner - $23.00

    c. Team meals may be purchased on a company credit card with permission from your Manager.

    d. Client / Sponsor entertainment expenses on a company credit card will be approved by the COO or CEO prior to the event.

Benefits

Full-time / Regular team members who work at least 30 hours/week are eligible for benefits.

Salary

Full-time team members work 40 hours per week and are exempt from overtime.
Your salary will be negotiated prior to hiring. Annual reviews of salary, to include adjustments, are conducted throughout the year.

You will be paid by direct deposit, following this payroll schedule:
- For the 1st to 15th day of the month on the 15th
- For the 16th through the end of the month on the last day of the month
- If the 15th or last day falls on a Saturday or Sunday, you will be paid on the preceding Friday.

Retirement Plan

Full-time team members are eligible to enroll in the company's 401K plan 90 days after their first day of employment. XYPN will match contributions on the following scale.
- 100% match on the first 3% of contributed salary.
- 50% match on the next 3% (up to 6% of base salary) of salary that is contributed.
  - The maximum matching contribution by XYPN is 4.5% of your base salary
  * XYPN contributions vest immediately

Health Insurance

Full-time team members are eligible to participate in our group health plan on the 1st of the month following your start date. Family members and domestic partners may be included on your plan, and you may choose your preferred level of coverage. XYPN contributes $300 a month toward your premium for you and $100 for each dependent that's on the plan, up to $500 total. As an alternative to participating in our group health plan, XYPN will contribute the aforementioned amounts towards a Health Savings Account (HSA), if you and your dependents are covered under an eligible plan outside of our group. Otherwise, employer contributions for those with other types of health coverage will receive the applicable amount as a stipend in addition to their salaries.

Ancillary Insurance Options

You are eligible to participate in any of our ancillary coverage options on the 1st of the month following your start date. Family members and domestic partners may be included on your plan, and you may choose your preferred level of coverage (where available).

Ancillary benefit options include:
- Dental Insurance
- Vision Insurance
- Voluntary Life and AD&D Insurance
- Accident Insurance

Health Savings Account

If covered under an eligible health insurance plan, including our Silver and Bronze plans; we can provide you access to a Health Savings Account (HSA). Through an established account with our partnered administrator, you can manage your team member and employer contributions (where applicable) to pay for eligible expenses.

Flex Spending Account

We offer 3 types of Flex Spending Accounts (FSA):
- Healthcare Expense FSA
- Limited FSA (LFSA)
- Dependent Care FSA

These accounts enable our team members to pay for specific health and dependent expenses with pre-tax dollars, thus reducing their taxable income.

Long Term Disability Benefit

We value our team members as people, who have their own personal responsibilities and perhaps others in their life that depend on them. This benefit protects our team members from loss of income in the event that he or she is unable to work due to illness, injury, or accident for a long period of time. The benefit's premium is paid by XYPN and the monthly benefit of this coverage would be 60% of one's salary up to $6000 with the duration of the benefit lasting until Social Security normal retirement age.

Life Insurance Benefit

Similar to the Long Term Disability benefit, this also helps protect our team members and those closest to them. The Life Insurance policy's benefit of $25,000 per team member is paid by XYPN.
- Team members must elect a beneficiary(ries) of this benefit, by completing a Beneficiary form from HR. This will need to be reviewed on an annual basis to ensure that our records are accurate and reflect your desired beneficiary designation(s).

Financial Planning

We are proud to offer this benefit, so that our team can receive sound fiduciary advice and gain a personal perspective on the work that XYPN members do. Our goal is to provide

comprehensive financial planning through this benefit, not just workplace wellness, meaning each team member will have access to a one-on-one relationship with a financial advisor.

- All team members will have the flexibility to select their own Financial Advisor. With that, we have done some leg work and have 5 XYPN members, whom have expressed a desire to work with all of you in building your financial future. We simply wanted to make the decision-making process a little easier by providing a short-list of Advisors. [Additionally, you can view a one-pager and a video from them, to help make your selection](#). However, should you decide that you'd like to explore other XYPN members; you have this option, but will need to research them independently.
- Employer Contributions (via payroll):
  - XYPN will contribute 50% of the selected Advisor's upfront/initiation fee up to $500, as a one-time contribution. Please note that this will be a taxable payment to you as a bonus.
  - XYPN will contribute 50% of the selected Advisor's monthly fee up to $50/month or $25/paycheck, as a recurring contribution, as long as you are enrolled in the benefit. Please note that these will be taxable bonus payments to you.
- All interested team members must complete the Financial Planning Benefit Form, notifying us of their chosen Advisor along with the effective date.
  - This will confirm your benefit participation and allow XYPN to reimburse a portion of your expenses.
- Enrolled team members must complete the Financial Planning Benefit Form if their relationship with their Advisor has ended, including the ending date.
  - This will confirm the conclusion of the team member's benefit participation and allow XYPN to cease any recurring and future employer contributions.
  - Likewise, Human Resources will inform the Advisor if the enrolled team member separates from XYPN.
    - The team member may be required to re-contract with the Advisor, if they choose to continue working with them.
- To enroll or unenroll from the Financial Planning Benefit, please complete this form, after you've contacted and entered into an agreement with your selected Financial Advisor:
  - [Financial Planning Benefit Form](#)
- Please contact Human Resources/Benefits Administration with any questions.

Tax Preparation via XYTS

XYTS's chosen tax software has an option for team members to prepare and file their personal returns for FREE. Password protection ensures access to only your return. Team members may only process their own returns and members of their immediate household (including

significant others). Please contact the Managing Director of XYTS, if interested, to gain access to the software. A User/Instruction manual is available to help guide you in using the software, in which XYTS can provide to you.

<u>"Be Well Being You" Wellness Fund</u>
Here at XYPN, we believe that to further our mission and be our best for ourselves and our customers, we need to invest in ourselves. We also know that it's not always easy to put yourself first. Over the course of a calendar year, you'll potentially receive a max bonus of $1,000 (taxable income) to spend on wellness-related activities and purchases. Wellness means something different to everyone and we recognize and support that. That's why the fund is available quarterly and accumulates. If you'd like to use it for your gym membership fees every month, you can do that. If you'd like to save it up for your Bridger Bowl ski pass and a new pair of skis, you can use it for those. There are little restrictions on the fund for a reason; it just has to relate to bettering your physical, mental, social, financial, or spiritual health. <u>Ideas of how to use the fund can be found here.</u>

Accessing the fund
> To receive the applicable bonus payment to pay for a portion or all of your expense, a team member must:
> - Submit a <u>BWBY Fund Request Form</u> (Fund distributions are processed monthly and must be submitted by the 10th of the month to receive the bonus on the 15th of the same month, with payroll)
>   - Mark this is a Wellness Fund purchase
>   - Upload and attach a receipt(s) to validate your use of the funds, as a previous purchase
>   - Mark what category the purchase falls into and a quick description of what you purchased.
>   - Submit
>
> *If you want to share with the team on how you are using your funds, you're invited to post in the "be_well_being_you" slack channel with a quick description of what you purchased and a photo!

How the fund works
> As of the beginning of each calendar year, each current team member will be on track to receive $1,000 within the year as a wellness bonus. Every quarter, team members will gain access to $250 within their fund. The fund will accumulate throughout the year. However, this is a "use it or lose it" benefit opportunity and the fund, partial or in whole, will not rollover into subsequent years.
> > Assuming no withdrawal:
> > - January/Q1--$250 would be available
> > - April/Q2--$500 would be available
> > - July/Q3--$750 would be available
> > - October/Q4--$1,000

You can always check your wellness fund balance here.

FAQs

Q: What are some purchases that cannot be reimbursed?

A: Purchases will not be reimbursed in the following areas:

- Alcohol
- Medical Expenses
- Gambling
- Marijuana/illegal drugs
- Adult Entertainment

Q: Can I submit reimbursement for family members?

A: Yes! If it includes an activity you all did together, go for it!

Q: As a new team member, when will I be eligible for the Wellness Fund?

A: You will be eligible for the Wellness Fund in the quarter following your date of hire. You are welcome to use the Wellness Fund for purchases made from your date of hire moving forward, but you will not be able to submit reimbursement or accrue funds until the quarter you are eligible to receive the fund (Example: If you are hired in Quarter 1, you will be eligible for the fund in Quarter 2, $250/quarter, providing you $750 over the remainder of the calendar year).

Q: Who is eligible for this benefit?

A: Full-time team members are eligible. Interns, part-time and contract team members are not eligible for the Wellness Fund but can participate in the Hotlaps program.

Q: Can I use the Wellness Fund (and participate in the Hotlaps program) during Maternity/Paternity leave?

A: Yes!

Q: Is my reimbursement taxable?

A: Yes, because this is not a business expense and a benefit instead; your bonus payments will be taxable income.

Discounted Gym Membership

XYPN has established Corporate membership rate availability at the Ridge Athletic Clubs, with 2 locations in Bozeman (1 is just a little over a block from our office!). With a minimum of 5 active memberships amongst our team, the Ridge will apply Corporate Membership rates to current and new memberships amongst our team. If you're already a member and not receiving Corporate rates through another organization, here's an opportunity to lower your

monthly dues! Or if you'd like to sign up with a new membership, the Ridge has an offer with minimal enrollment fees along with the reduced monthly dues.............

Under XYPN's Corporate membership, you would realize the following discounts on your monthly dues:

- Individual Membership
    - $53/month
- Couples Membership
    - $91/month
- Family Membership
    - $116/month

For new enrollees at the Ridge, an enrollment fee will be due. If you enroll as a new member under our Corporate membership, the enrollment fee will be discounted by $100. Here are the enrollment fees with and without the promo:

- Individual Membership
    - $75
- Couples & Family Memberships
    - $150

Please note that your membership is between you and the Ridge, even when utilizing our Corporate rates. To realize the Corporate rate and make monthly payments, the Ridge will bill us for your discounted monthly dues and we'll then collect it from you through payroll deduction.

Vacation

In an effort to maximize flexibility and allow you to live your great life, XYPN maintains an open and unlimited vacation policy. We require team members to take at least three weeks (15 business days) of vacation per calendar year, with 2 of those weeks being 5 consecutive days. This means you should be taking (at least) two 1-week vacations, along with taking at least 5 days off per year for long weekends, to attend family events, etc. This is the minimum and we encourage you to take more. Taking Fridays off to enjoy long weekends, traveling internationally, and everything in between is highly encouraged. If you are hired mid-year, the number of required days will be based on which quarter you were hired:

- Q1 – 12 day minimum
- Q2 – 9 day minimum
- Q3 – 6 day minimum
- Q4 – 3 day minimum

Given the above flexibility, there are a few times each year that we need you to be present including:

1. All full-time team members are required to be at the XYPN National Conference unless otherwise told or excused by our Event Manager or your Supervisor.
2. All members of the leadership team are required to attend quarterly planning sessions.

If you have work that must be completed while on vacation; either complete tasks prior to departure, or coordinate for a teammate to cover those responsibilities. All vacation must be cleared with your immediate Manager to ensure proper coverage. In addition, we ask that you enter all pre-planned absences (vacation, personal days, etc.) into the XYPN Vacation Calendar, which are 1 full day or more in duration.

Vacations are only considered a vacation if you do not log into email or slack for the entire day. We believe this time off is important to the health and wellness of our team, so please treat these days as no-work days. If an emergency happens and you are needed, (which should be in the most rarest of circumstances), your manager will text you.

Parental leave will reduce the number of required days of vacation during that calendar year by 3 days. If parental leave crosses into multiple calendar years, use your best judgment.

Please note that vacation time does not accrue, so there is no payment for unused vacation days if you choose to leave your XYPN employment

Flex Time

We understand that everyone works best in various environments. XYPN team members are welcome to work from the office, from home, from a coffee shop, or wherever else it makes sense for you to get your job done. There will be times when you need to be at the office for a meeting with the rest of the team, and we need to know when you're working, but it's up to you how and where you accomplish your job from. Also, if you are sick, please stay home. You can work from home, or take the day off, but please don't feel like you need to come to the office.

XYPN Holidays

Below is the list of XYPN recognized holidays, in which the office will be CLOSED and normal operations will not occur. If any of the following holidays fall on a Saturday, we will observe it on Friday, the day before. If any of the following holidays fall on a Sunday, we will observe it on Monday, the day after.

- New Year's Day
- Martin Luther King, Jr. Day
- Memorial Day
- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Day

- Christmas Day

You are welcome to take other holidays off to spend with your family, leveraging our vacation policy, as the days listed above are simply those in which our office will be CLOSED and nobody should be accessing our facilities and/or work related technology.

<u>Family Leave</u>

XYPN values the importance of family. In an effort to support those values, XYPN offers every team member up to 12 weeks of:

- Paid maternity/paternity leave within six months of the date of birth or adoption of the child
  - For team members that have a due date within 12 months of their hire date, XYPN offers 6 weeks (30 business days) of paid leave, along with the option to take up to 6 additional weeks unpaid.
  - For team members that have a due date after 12 months of their hire date, XYPN offers 12 weeks (60 business days) of paid leave.
- Paid leave for "Pregnancy Recovery", in the case of a miscarriage.
- Paid leave to care for an immediate family member with a serious health condition. Immediate family is defined as a team member's spouse, domestic partner, children, parents, siblings and grandparents.
- Paid leave to recover from a short term health condition.

As you approach the end of your leave period, work with your Manager to ensure your workload is appropriate, given the recent changes in your life.

You are welcome to phase back into work at a pace that makes sense for you and/or your family. A few examples of how you may structure your leave (this is far from an exhaustive list):

- 12 consecutive weeks off
- 8 full weeks off, 8 weeks at half-time
- 8 full weeks off, 4 weeks ¼ time, 4 weeks ¾ time
- 6 full weeks off, 12 weeks at half-time
- 6 full weeks off, 4 weeks ¼ time, 4 weeks ½ time, 4 weeks ¾ time

If you are asked to attend an event and have a little one under 12 months old, we will cover the cost of a flight and hotel room for a caretaker to also attend. This is for both nursing mothers and parents that just don't want to miss their baby.

<u>Bereavement</u>

Five working days of paid bereavement leave will be granted to team members who have a death in the immediate family. Immediate family is defined as a team member's spouse, domestic partner, children, parents, siblings and grandparents. If used, these

days would not lessen one's minimum 15 business days of vacation within the calendar year.

Military Service

Full-time, regular team members who are inducted in the Armed Forces are considered to be on a leave of absence without pay and accrue only those benefits specified by law. Upon completion of military assignment, the team member is eligible for rehire in their former job or a job of similar status and pay providing the following conditions are met:

- The team member must have been employed in a position other than temporary before their induction;
- They must have left their job to enter military service;
- They must have received certificate(s) of satisfactory completion of military service;
- They must apply for re-employment within 90 calendar days of their discharge; and,
- They must be able to perform the duties of their former job or a job of similar status.

Veterans will be re-employed with the same seniority, status, and pay they would have had if they had not entered military service.

National Guard/Reserves

Staff members who are members of the National Guard or the Reserve will be granted a leave of absence for any period or required service with their unit other than normal tour duty. All benefits will accrue during such periods and such duty will not be considered a break in service. The team member must be reinstated in their position providing they meet all of the conditions listed under Military Service (above) with the following exception:

- The team member must report to work at the beginning of the next regularly scheduled working period following their release from duty.
- Team members who must take time off to participate in the Reserve or National Guard must submit a written request for leave to the immediate Manager indicating the period of absence and the expected return date.

Volunteer Work

We encourage you to be involved in non-profits of your choosing that help promote causes you believe in. Our preference is that you select a non-profit that is focused on Bozeman, Gallatin Valley, or Montana. If you're a remote team member, then we understand that this is likely not possible. To facilitate your involvement in these organizations, all team members

are encouraged to take time off to participate in the organization of your choosing. If you give 40 hours of your time to a non-profit in a calendar year, XY Planning Network will donate $500 to them in your name. This will be paid out by the end of January of the following year, unless there is a specific request from the team member to make the donation later in the year, which will need to be coordinated with the Director of Finance.

Recruiting New Team Members

If you refer a new team member to work at the XY Planning Network family of companies (including: XYPN, XYIS, and FABC), you will receive a cash bonus of $1,000. 50% of the bonus is paid after six months of employment, and the remainder is paid after 12 months of employment. Both the new hire and the referring team member must be current team members at the time the bonus is due in order for it to be paid. If either the team member or the referring team member leaves employment, the bonus is forfeited. Please note that the bonus is not available for positions that you are directly involved in the hiring decision. Typically this will exclude your direct reports, and your direct report's direct reports. It is the referring team member's responsibility to claim the referral of a new team member and validate it with Human Resources. Thereafter, payments will be coordinated appropriately.

Educational Opportunities

Overview

> We believe that our people are what keeps us ahead of the competition, and we will continue to invest in your development as a manager, subject matter expert, and/or leader. While you are at XYPN, you will have the opportunity to participate in educational programs that will better prepare you for your future, either at this company or as you pursue other passions/interests. The programs include both job-specific technical training, like sales training, or more generalized academics, like grad school. Outlined below are the expectations associated with taking advantage of the educational opportunities.

Tuition Reimbursement - Graduate-Level Degree

> The XYPN tuition reimbursement plan is designed to prepare teammates to move into senior leadership positions. The program will reimburse tuition expenses for approved graduate-level programs at in-state (Montana) institutions, or similarly priced online programs. XYPN will approve up to 2 teammates per year for grad school tuition reimbursement.

> Process
>> Application Process
>>> 1. Seek and gain approval from your direct manager to apply for the program.

          a. The program should not infringe upon your ability to complete your job.

     2. Submit an application which can be found here:

          a. https://xyplanningnetwork.wufoo.com/forms/m89o1n50tqs440/

     3. If approved for tuition reimbursement, apply to selected program.

     4. Notify manager of acceptance or non-acceptance to the desired program.

Reimbursement

     1. Upon completion of each course/class, send course documentation (grades, proof of tuition cost and proof of payment) to the Director of Operations to initiate reimbursement. Reimbursements will follow our monthly expense reimbursement schedule.

Who Qualifies (Must meet both criteria)

     1. All team members who have worked at XYPN for at least a year.

     2. Team members who qualify for in-state tuition in the state of Montana.

Requirements

     1. Team members must earn at least a 3.0 GPA in a class to receive reimbursement for that class.

     2. Upon completion of the graduate program, team members must continue to work at XYPN for a minimum of two years or pay back a pro-rated cost of the education. Payback amount will be prorated over the two-year period.

*Employer-provided graduate education tuition assistance benefits and/or tuition reimbursement for non-credit courses that exceed $5,250 are considered taxable wages, while benefits up to $5,250 are not taxable. Speak with a tax professional to determine if your specific education program is tax exempt.

Required Professional Training/Coaching/Certification

Some roles at XYPN will require you to attend an education program in order to be perform your duties. These courses will be paid for in advance by XYPN.

Process

     1. Seek and gain approval for attendance in the training, coaching or certification program from your manager.

     2. Submit an application which can be found here:

          a. https://xyplanningnetwork.wufoo.com/forms/m1gauouw16uy82s/

     3. If approved, ask your manager to use their company card to pay for the program.

     4. Attend training and kick ass.

Requirements

     1. Must attempt to attend all sessions.

     2. Must obtain proof of completion and/or certification.

a. If teammate fails to obtain proof of completion and/or certification, XYPN will not reimburse the teammate for the program.

Optional Professional Training/Coaching/Certification

There may be times when you want to obtain training, coaching or a certification that is not required for your specific role, but will enable you to advance your career. XYPN highly encourages these types of developmental opportunities and will do all it can to support your efforts. As these are not required by XYPN, they will fall into the reimbursement category, and we will gladly pay for them, upon completion and within the confines of your individual annual training budget amount.

Process

1. Seek and gain approval from your direct manager to apply for the program.
    a. The program should not infringe upon your ability to complete your job.
2. Submit an application which can be found here:
    a. https://xyplanningnetwork.wufoo.com/forms/m1gauouw16uy82s/
3. If approved for reimbursement, apply/register to selected program
4. Notify manager of acceptance/non-acceptance or registration to the desired program.

Reimbursement

1. Upon completion of program, send course documentation (certificate/proof of course completion, proof of course cost and proof of payment) to the Director of Operations to initiate reimbursement. Reimbursements will follow our monthly expense reimbursement schedule.

Requirements

1. Must attempt to attend all sessions.
2. Must obtain proof of completion and/or certification attainment
    a. If teammate fails to obtain proof of completion and/or certification, XYPN will not reimburse the teammate for the program.

Sabbatical

In addition to formal continuing education, we recognize the learning opportunities that are available with a little extra time and cash. Once you're here for five years, you'll get a month off and $5000 for a sabbatical. At ten years, you'll get two months and $10,000. At fifteen, it's three months and $15,000. This comes with fairly few restrictions; it just needs to be meaningful to you, either personally or professionally. We're excited to see the life-changing projects that you'll create.

● Distribution of Funds
    ○ The Sabbatical payout, per the tenure payment amount schedule, will be paid no earlier than the applicable anniversary date and no later than 1 year thereafter. The team member must request the payout and take the

applicable time off of work within the 1 year period following their anniversary or they will forfeit the benefit in whole.

<u>Childcare</u>

We are so excited for the opportunity to work with you and your children! We're here to support you and your children by providing a safe and fun environment for your kids to learn and grow. Before we get started, we want to provide you with a little information about our center to help make this the best experience possible! Here we go...

Scheduling

Our childcare center is set up as a "drop-in" location. This means that you may choose to enroll your child either 3 full days per week OR 5 days per week up to 6 hours per day. To schedule your child's visits, please message the Director of Operations or email our Childcare Specialist. We kindly ask that you schedule your child's visits at least two weeks in advance to help us plan and properly staff the center. However, we will do our best to accommodate you whenever possible if you miss that deadline. Just contact the Childcare Specialist and we should be able to make it work!

Pricing

Our pricing structure is based on the parent's/team member's annual salary level.
- $4/hr: $0 - $60,000
- $6/hr: $60,001 - $85,000
- $8/hr: $85,001 +

Capacity

The more the merrier! Once we reach a certain threshold of children, we'll hire additional help as needed.

Supplies

We have some essentials available at the center. However, we ask that you try to provide your child's food, fluids, wipes, diapers and any other specific items your child may need. If you have toys you'd like to send with your child, that's absolutely fine, but we're here to provide a fun and engaging environment with everything else they need!

HiMama

Communication is extremely important to us. We've adopted the app HiMama to facilitate and streamline communication with parents. This app allows us to track your children's activities, including meals, activities, naps, and even potty times! As a parent, you can download the app as well to view this information in real-time. At the end of each day, you'll be sent a report with a summary of your child's activities for the day, including any photos and videos taken throughout the day. In addition to the basic daily activities, over time this report will also provide information on your child's developmental milestones that they are working towards or have met. For example, the game "peek-a-boo" teaches a child cause and effect, an important cognitive skill in

the developmental process. Cruising and crawling are examples of gross motor milestones. HiMama shares it all with you!

Feedback

We are a brand-new center, and like your children, we are learning as we grow! We welcome and encourage any feedback you have so that we can best serve you. To provide feedback, send a Slack message or email our Childcare Specialist. We're always looking for ways to improve!

Enrollment

To enroll your child at the center, please begin by completing this questionnaire. The more detailed information you provide the better we can accommodate your child and their specific needs. Next, you can download "HiMama - The Childcare App". Check your email inbox - we'll be sending your invitation after you complete the questionnaire! Once you've completed the questionnaire, you may begin scheduling your child's visits.

Gifts

For new additions, of the infant variety, to the XYPN team, our team may send a gift(s) or arrange for meal assistance. For deaths in the immediate family of an XYPN team member, Managers may send a card and flowers or something of comparable value, to express our condolences. For injuries or medical leave, our team may send a card and flowers or arrange for meal assistance.

TSA Precheck

XYPN will reimburse the expense to obtain TSA Pre-Check. They tend to be in larger airports, so feel free to schedule a time with them when traveling and we will cover the expense. We highly encourage it as it makes getting through security much faster and lower stress.

Open Position, Compensation, Development, and Review Policy

Open Job Postings

All open jobs, new or existing, will be posted to allow internal applicants, at a minimum. This will be the process in which promotions are determined, with this exception:

● The CEO reserves the right to appoint a team member into a new role within any service line, at any time without posting the position.

Compensation philosophy

We have a little bit different approach to compensation here at XY Planning Network. We expect to continue to grow and evolve in this area, however there are a few areas worth noting.

Performance

We do NOT base compensation on performance. We feel that if we did, we would be admitting that it's okay to work here and be a mediocre performer. We strive to only hire A players (as opposed to B or C

players) for our team, and therefore expect the highest level of performance available from each team member.

Compensation

We base compensation on accountability. Our salary spreadsheet is available to all of our team members, so you are clear on what it takes to increase your compensation. We believe that you should be paid based on the job responsibilities that you have, so the way to make more money is to take on additional responsibilities. This is also our way of removing the stress of asking for a raise, as it is an unnecessary step here at XYPN. Want to make more money? Talk to your manager about how to take on more responsibility to move up in terms of the level of accountability.

90 Day Plan Overview

All team members will receive a 90 day plan within their first week of employment. This plan outlines the expectations and goals for the first 90 days of employment. This will be the central worksheet used to ensure you onboard efficiently to XYPN. This document will provide you with clear goals and expectations, and a regular check in process to ensure you are on track or if adjustments are needed. [90 Day Plan Template](#)

Continuous Learning

All team members are eligible for company sponsored training. These generally break down into the following categories:

- Company wide training – These are offered on a regular basis
- Leadership/Management training – For team members that are, or want to be, manager of people in the company
- Individual training – This is job role specific and depends on your 1/3/5 year goals set in your Individual Development Plan (IDP)

Recommended reading list based on topic:

Run a better business

- Traction: Get a Grip on Your Business
- Start with Why: How Great Leaders Inspire Everyone to Take Action
- Good to Great: Why Some Companies Make the Leap...And Others Don't

Be a better person

- The 7 Habits of Highly Effective People: Powerful Lessons in Personal Change
- Principles: Life and Work
- How to Win Friends and Influence People in the Digital Age
- Crucial Conversations: Tools for Talking When Stakes are High

Be a better manager

- The New One Minute Manager
- How to Be a Great Boss
- Overcoming the Five Dysfunctions of a Team
- Drive: The Surprising Truth About What Motivates Us
- Multipliers: How the Best Leaders Make Everyone Smarter

- The Alliance: Managing Talent in the Networked Age

Be a better executive
- The Four Obsessions of an Extraordinary Executive: A Leadership Fable

Better understand motivations
- The Power of Habit: Why We Do What We Do in Life and Business
- Nudge: Improving Decisions About Health, Wealth, and Happiness
- Happy Money: The New Science of Smarter Spending

Understand XYPN better
- The Membership Economy
- What the Heck Is EOS?: A Complete Guide for Employees
- FREE: The Future of a Radical Price

Understand XYPN members better
- The E-Myth Revisited: Why Most Small Businesses Don't Work and What to Do About It
- So You Want to Be a Financial Planner

A better negotiator
- Getting More: How You Can Negotiate to Succeed in Work and Life
- Never Split the Difference: Negotiating As If Your Life Depended On It

Review Process (AKA - "Snapshot")

This will be the last time we use the word "Review" because this process is more about helping you be the best you can be.

The Process

A total departure from the standard "annual review with an occasional semi-annual review thrown in for good measure," this new process will drive near-constant opportunities for communication, collaboration and personal and professional growth.

1. Fuel Performance through Weekly Check-Ins
2. Revisit Performance through Quarterly Analysis
3. See Performance through Annual Snapshots

Career Action Plan (CAP)

Think about the Career Action Plan as the roadmap for your professional and personal development goals. Just like driving randomly around a major city with the hopes of accidentally arriving at a specific destination is rarely the most effective strategy for transportation, not taking ownership of your career path and development can lead to missteps and delays in achieving your goals. Your CAP will let us know where you'd like to be in 1 years, 3 years, or even 5 years. One more thing to keep in mind: you can't be your best self at work if you aren't taking care of yourself! This is a good time to set one or more personal goals that contribute to your health and happiness in the year ahead.

PR/Media Policy

Social Media

Social media is tricky territory professionally. We remind all team members to use common sense when engaging online. What does this mean?

- Avoid controversy. Just. Don't. Touch. It.
- Please don't speak on XYPN's behalf; we have people for that.
- Behavior that reflects poorly on XYPN (via social media or IRL) may be cause for termination.
- Think before you type. If you wouldn't be comfortable sending your comment in our member newsletter, don't post it.

Our Facebook Community

XYPN maintains an active VIP community on Facebook for listeners of XYPN Radio. You are welcome to join this closed group during your time at XYPN, however, it is our policy to indiscriminately remove all former team members from this community. If you wish to rejoin the group, you may request admission after a period of absence of 24 months.

<u>Manual Revision Policy</u>

All updates made to the Policy and Procedure Manual will be made by our Director of Operations. Any proposed changes can be communicated to the Director of Operations. They will then go for review by the CEO for consideration, in which only the CEO may approve. Updates and changes will be tracked within the revision log below, for documentation and reference.

REVISIONS

Date/Author	Section	Description of Change
1/16/2020 - Travis Gano	Entire Document	Initial Release