



Mischler Financial Group Inc. Diversity Vision

Mischler Financial Group, Inc. Diversity, Equity and Inclusion Policy

(Updated January 1 2020)

Our Vision

Mischler Financial Group, Inc. (“MFG”) recognizes its talented and diverse workforce as a key competitive advantage. Our business success is a reflection of the quality and skill of our people. MFG is committed to seeking out and retaining the finest human talent to ensure top business growth and performance.

Diversity management benefits individuals, teams, our company as a whole, and our customers. We recognize that each employee brings their own unique capabilities, experiences and characteristics to their work. We value such diversity at all levels of the company in all that we do.

MFG is diverse along many dimensions. Our diversity encompasses differences in ethnicity, gender, language, age, sexual orientation, religion, socio-economic status, physical and mental ability, thinking styles, experience, and education. We believe that the wide array of perspectives that results from such diversity promote innovation and business success. Managing diversity makes us more creative, flexible, productive and competitive.

Recruitment

As a national broker-dealer, MFG recruits people from all around the country. We believe that our having employees from many different cultural, linguistic and national backgrounds provides us with valuable knowledge for understanding complex markets. We have established procedures to identify talented individuals from under-represented backgrounds for recruitment and we will prioritize the hiring of service-disabled veterans whose skillsets and capabilities meet and/or exceed the qualifications required for specific roles. We contribute to philanthropic organizations that support advanced education, career training, mentorship and hiring of under-represented talent from among the military veteran and Service-Disabled Veteran (SDV) communities as well as from under-served urban communities.

Career development and promotion

MFG rewards excellence and all employees are promoted on the basis of their performance. All managers are trained in managing diversity to ensure that employees are treated fairly and evaluated objectively.

Diversity bodies

Our commitment to diversity is led by our Board of Directors and designated diversity committee, which is responsible for ensuring that our diversity policy is articulated and enforced in the day to day operation of our organization and in the course of implementing the strategic direction of the company.

Mischler Financial Group, Inc. Diversity, Equity and Inclusion Policy

January 1, 2020

Mischler Financial Group, Inc. is committed to fostering, cultivating, and preserving a culture of diversity, equity and inclusion. We value our employees for their unique talents and abilities. We embrace and encourage our employee's differences in backgrounds, experiences, race, color, religious creed, sex, national origin, ancestry, citizenship status, family or marital status, physical, mental and/or intellectual abilities, age, military or veteran status, registered domestic partner or civil union status, gender and gender identity, sexual orientation, political affiliation, and socio economic status. All employees are valued for their individual differences and the unique contributions that help us achieve our business goals.

Through our diversity, equity, and inclusion policy, Mischler Financial Group, Inc. seeks to create a positive work environment where all employees can reach their full potential and maximize their contributions. We are committed to our employees' dignity and well-being and make every effort to provide all employees with a safe and professional work environment.

Mischler Financial Group, Inc. strives to treat its employees fairly, with respect, and to maintain a workplace that is free from discrimination, harassment, and other offensive or unprofessional behavior, as stated in the company's anti-harassment policy. Employees are always expected to treat others with dignity and respect while in the workplace, at company-sponsored events, at all work-related functions, and any public settings where the employee's association with the Mischler Financial Group, Inc. is known, such as social media platforms.

To ensure a respectful and dignified workplace, and to foster diversity, equity, and inclusion, Mischler Financial Group, Inc. supports the following practices:

Diversity, Equity, and Inclusion Training: Employees will be required to attend annual training to promote a greater understanding and enhance employee knowledge of Mischler Financial Group, Inc.'s diversity, equity and inclusion initiatives. Mischler utilizes an online learning/training portal for employees that includes a section dedicated to Diversity, Equity and Inclusion. All employees have access to all of the online training resources and related online books (24/7). This learning portal incorporates a [Diversity, Equity & Inclusion Targeted Curriculum](#), that combines all employee and leader resources in one single location. Subjects include:

- **Overcoming Your Own Unconscious Bias**
- **Your Role in Workplace Diversity**
- **Leveraging Diversity**
- **Global Diversity**
- **Leading Diversity**
- **Diversity - It's Value in the Workplace**
- **Diversity - Overcoming Barriers**
- **unconscious Inclusion**
- **The Diversity Training Handbook**
- **Dealing with Unconscious Bias**

Teamwork: Mischler Financial Group, Inc. encourages employee participation, respectful communication, and collaboration between all employees that permits the representation of all employee perspectives. We also support open communication and freedom of expression in a respectful manner to allow employees to feel safe to voice their concerns and opinions.

Race, Gender and Age: Mischler Financial Group, Inc. acknowledges that employees have different backgrounds and experiences, and that each one brings a unique perspective to any interaction within our company. Therefore, the company empowers all employees to not just listen, but to embrace diverse viewpoints that we can all learn from. Employees will be provided with growth and advancement opportunities based on their contributions and performance, rather than any other factor. We will ensure all areas of employment are objective and will take steps to reduce unconscious bias to ensure equal treatment of all employees.

Religious Diversity: Mischler Financial Group, Inc. acknowledges that employees have different religious practices and beliefs. Tolerance and acceptance of religious views is vital and beneficial to a diverse workforce.

National Origin: Mischler Financial Group, Inc. appreciates and values the diversity of its workforce and understands that English may not be a native language for all employees. The company will encourage employees to communicate in the language they feel most comfortable with and, if necessary, will provide translation services so that everyone can understand what is being said and feels included.

Work/Life Balance: Mischler Financial Group, Inc. supports flexible work practices and policies that support employees and their changing needs (e.g., family responsibilities). Mischler Financial Group, Inc. recognizes that providing flexible work practices allows employees to use working arrangements that meet their need to balance their work and family lives.

Accessibility: Mischler Financial Group, Inc. seeks to ensure that employees of all abilities are able to access the information and resources they need to perform their jobs. We will provide a reasonable accommodation for any employee's disability so that the employee can perform the essential duties of the job in question.

Names and Pronouns: An employee has the right to be addressed by the name and pronoun of the employee's choice. No documentation is required, except for payroll and insurance records that must match the employee's legal name. An employee's coworkers are expected to be respectful of the employee's choice and to use name and pronouns requested by the employee. Intentional use of the employee's former name and/or pronoun is a violation of this policy and may constitute unlawful harassment. Employees who are unsure of what pronoun a coworker prefers, should politely ask that coworker how they would like to be addressed.

E-mail Signature: The company values self-expression and self-identification. You may voluntarily include your gender pronouns (i.e., she/her/hers or they/them/their) in e-mail signatures and other bios. Including gender pronouns in e-mail signatures is not required. The pronoun an employee indicates is not necessarily indicative of their gender identity.

Restrooms/Locker Rooms: Employees shall have access to the restroom and/or locker room that corresponds to their gender identity. For example, a person who identifies as a man should use the men's restroom, and a person who identifies as a woman should use the women's restroom. If there is a desire for increased privacy, the company will work with the employee for alternative options.

Recruitment and Hiring: Mischler Financial Group, Inc. takes proactive steps to promote a diverse pool of candidates including women, minorities and veterans. All posts and advertisements for employment

opportunities will be focused on military veterans, service-disabled veterans, and members of minority classes, including women, African-Americans, Hispanic Americans, Asian Americans and LGBT community members. If we have difficulty locating a qualified veteran, minority or women for a particular role, we may elect to use a minority owned staffing firm that targets veterans, minorities and women.

Annual Survey: Our Annual D&I Survey to all employees is web-based and 100% anonymous. We ask a series of questions to help us evaluate how effective our D&I program is on an ongoing basis. The feedback from employees also helps us determine improvements to the program.

This Diversity, Equity, and Inclusion policy applies in all aspects of employment. Every effort is made to ensure that our policies regarding hiring, compensation, promotion, and transfer are based solely on job requirements, job performance, and job-related criteria. In addition, we strive to administer our employment policies and practices, including those relating to compensation, benefits, transfer, retention, termination, training, career development opportunities, as well as social and recreational programs, in compliance with applicable federal, state, and local fair employment laws.

Approved by the Board of Directors January 1, 2020

A handwritten signature in black ink, appearing to read 'D. Chamberlain', with a stylized, flowing script.

Dean Chamberlain, Chairman & Chief Executive Officer