

Align Financial, LLC Corporate Engagement Standards

Our purpose is to provide the best financial life planning service available. A great work environment is important to achieve this goal. Engagement standards provide clear directives on how we operate as a company and how our employees are expected to interact with each other. Open and direct communication fosters a great work environment and helps us create great lives for our employees as well as our clients.

What we expect from each other:

_____ PASSION FOR EXCELLENCE and INTEGRITY - We have a passion for excellence in all that we do to continue to make this a great company. All employees are expected to do a great job. We pride ourselves in having high ethical standards. We always do the right thing.

_____ PLANNING & GOAL SETTING – We believe we should all be working towards our own goals and visions of our future. The firm will have an annual business plan where priorities are discussed and set for the coming year, and all should be connected to a larger long term vision. Employees are also expected and encouraged to take time to create their own annual goals and priorities. This will be one of the ways we benchmark our success throughout the year.

_____ COMMUNICATION - We have an open door policy with honest, direct, and clear communication. If something bothers or offends an employee, they need to share that information. If there is a criticism of another employee or the way things are done, we listen to each other from a place of learning, empathy, and goodness and work to resolve the situation through compromise. We do not speak behind employees backs, and if it does happen, it is understood this information will be shared with the employee of concern. We have regular meetings to give us time to communicate about any issues.

_____ UNCERTAINTY - All questions are good questions. If you are uncertain ask. “I don’t know” is an acceptable answer between staff members. “I don’t know, but I’ll find out” is an acceptable answer to a client.

_____ CURIOSITY AND INNOVATION – Lifetime learning and continuing education is valued and expected. We agree to mentor each other in our areas of strength, and to seek out other opportunities which will allow us to learn and grow as a team.

_____ TEAMWORK - We encourage collaboration of ideas and actions. We also share in the work that has to be done. Everyone pitches in when needed, no matter the type of job that needs to be done.

_____ PLEASANT WORK ENVIRONMENT - We like to look forward to our time at work and strive to maintain a pleasant, fun and calm working environment. We enjoy laughing and anything else that brightens the day. Constant curmudgeon or negative type personalities will not fit in here. We appreciate intensity, however not if it's at the expense of others and the office. We are expected to manage our own stress levels to create a calm and enjoyable working environment.

_____ A BALANCED LIFE – Balance is important when creating a great life. Taking care of us first helps us take care of others better. We plan for group office outings, like group athletic or social activities. We are encouraged to take time off for fun and family, as well as personal time to give yourself time to think outside of the office.

_____ CULTURE OF CONTRIBUTION – We realize the benefits of serving others. We look for ways to use our skills to benefit those in need, and allow for time away from the office to foster this work through board commitments, advisory councils or other community commitments.

_____ RESPECT FOR OTHERS - We are all valuable. Our relationship needs to be reevaluated if we ever stop enjoying or respecting one another. We are committed to living our lives from a place of joy and kindness, and hope to have long-lasting, healthy relationships with each other and all of our clients.

_____ ERRORS - Mistakes are human. We take full responsibility for any errors made and we learn from them. We agree to make each other aware of errors as soon as they are discovered. We do our best to minimize errors and immediately remedy errors that occur.

_____ RELIABILITY - We rely on each other to do what we say and say what we do.

_____ COMPLAINTS – We are always striving to improve. If an employee has a complaint, they must always suggest solutions that may resolve their complaint.

_____ COMPETENCE - We are expected to be competent to the level of our training.

_____ VERIFICATION - We trust, but verify. We check behind each other to make certain tasks are getting done. We have policies in place to make certain the company and client's money are being protected.

_____ CONSISTENCY – We are consistent in how we deliver our services to clients. We develop and refine client service procedures and client deliverables to maintain efficiency and quality. It is expected that all employees will follow the same procedures.

_____ HOURS OF OPERATION – Align Financial, LLC. keeps flexible hours for clients as well as for our staff. Deviations from the normal schedule are communicated through voicemail or email messages.

_____ DRESS CODE – Align Financial, LLCs dress code is casual on days we do not have client meetings and on weekends. Clients are welcome to visit the office unannounced, but are informed that we may be in casual attire. When we have client meetings we will dress in proper business casual attire. We strive to maintain two casual days a week.

_____ COMPENSATION - Compensation has a fixed salary component and also a variable component based on firm profitability and growth. Our goal is to have all employees paid above market rates.

_____ CELEBRATIONS - We believe that a job well done should be rewarded. As goals are met, we have celebrations of these goals.

I understand and agree with these awesome engagement standards. Any questions have been answered to my satisfaction.

Agreed to and accepted by:

Employee: _____

Signature: _____ Date: _____

Align Financial, LLC

By: _____ Date: _____

Tanya Nichols, President and Founder