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Encompass Investments, a Division of Verity Investments, Inc.

## REGISTERED REPRESENTATIVE ACKNOWLEDGEMENT

I hereby acknowledge that I have received, read, and fully understand each of the following policies and procedures documents. I have, in addition, participated in training covering each of the following on \_\_\_\_\_ (date) and agree to abide by their provisions:

1. The Compliance Manual including:
  - a. Do Not Call Procedures contained in 'Telephone Communications with the Public'
  - b. Insider Trading Policy
  - c. Gifts and Gratuities Policy – I have reported all applicable gifts and entertainment during the past 12 months on the quarterly Gift Log
  - d. Social Media Policy – I have not communicated or posted any information for business purposes on social networking sites without approval.
2. The Anti-Money Laundering Program
3. The Business Continuity Plan

I further acknowledge the following:

- I do not at present and will not in the future maintain any personal non-public client information on any portable device, including but not limited to cellular phones and laptop computers. I assume full liability for any loss or expense incurred by the firm for any violations of this policy
- I will not use text messaging for business purposes with persons inside or outside the firm unless I have enrolled in an archiving service approved by the firm. If in receipt of an incoming business-related text, my only response will be to "Please check email, as I am not permitted for regulatory reasons to respond via text for business purposes"
- I am personally responsible for maintaining complete and accurate disclosures of required personal and firm information on all outgoing email from any computer or device.

I understand and agree that violation of any of the firm's policies and procedures may subject me to disciplinary action including but not limited to fines and/or suspension of business privileges, including loss of rights to compensation during any periods of suspension.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

Revised 10/2018