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Encompass More, a Division of Verity Asset Management  
280 S. Mangum Street, Suite 550 | Durham, NC 27701

### **INVESTMENT ADVISORY 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 Verity Asset Management, Inc. IA Policies and Procedures manual, including:
  - a. The Code of Ethics
  - b. Gifts and Gratuities policy – I have reported all applicable gifts and entertainment during the past 12 months on the quarterly Gift Log.
  - c. Social Media policy – I have not communicated or posted any information for business purposes on social networking sites without approval.
2. The Verity Asset Management, Inc. Anti-Money Laundering Program.
3. The Verity Asset Management, Inc. 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 personal liability for any loss or expense incurred by the firm for any violation of this policy.
- I will not use text messaging for business purposes with persons inside or outside of 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

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

\_\_\_\_\_  
Date