



TESTEQUITY, LLC

## **Code of Conduct and Ethics for All Employees**

### **Table of Contents**

1 INTRODUCTION .....	2	16 RECORD-KEEPING, FINANCIAL CONTROLS AND DISCLOSURES .....	9
2 COMPLIANCE WITH LAWS, RULES, AND REGULATIONS.....	3	17 PROTECTION AND PROPER USE OF COMPANY FUNDS, ASSETS AND INTELLECTUAL PROPERTY .....	10
3 CONFLICTS OF INTEREST .....	3	18 BOYCOTTS AND TRADING SANCTIONS .....	10
4 CONFIDENTIALITY .....	4	19 GOVERNMENT CONTRACTS .....	11
5 COMPANY OPPORTUNITIES.....	4	20 WAIVERS OF THE CODE OF BUSINESS CONDUCT AND ETHICS .....	11
6 COMPETITION AND FAIR DEALING .....	5	21 REPORTING ANY ILLEGAL OR UNETHICAL BEHAVIOR .....	11
7 BRIBERY AND CORRUPTION .....	5	22 IMPROPER INFLUENCE ON CONDUCT OF AUDITORS .....	12
8 GIFTS AND ENTERTAINMENT.....	5	23 SOLICITATION, DISTRIBUTION AND POSTING .....	12
9 POLITICAL CONTRIBUTIONS .....	6	24 COMPLIANCE PROCEDURES.....	13
10 PAYMENTS TO GOVERNMENT PERSONNEL.....	6	8 ACKNOWLEDGEMENT OF BUSINESS CODE OF CONDUCT AND ETHICS .....	14
11 TRADE COMPLIANCE.....	7		
12 DISCRIMINATION, RETALIATION, & HARASSMENT .....	7		
13 HEALTH, SAFETY AND ENVIRONMENT .....	8		
14 WORKPLACE VIOLENCE.....	8		
15 ENVIRONMENTAL.....	8		