

# Table of Contents

<b>Introduction and Purpose</b>	2
Core Principles	2
Scope and Objectives	2
<b>Code of Conduct</b>	2
Expected Conduct	2
Core Principles	2
Required and Prohibited Behaviors	3
Applying the Standards	3
<b>Confidentiality and Data Protection</b>	4
Confidential Information	4
Data Protection Measures	4
Legal Compliance	4
<b>Conflict of Interest</b>	5
Identification and Disclosure	5
Resolution and Mitigation	5
<b>Compliance with Laws and Regulations</b>	5
Key Legal Obligations	5
Ensuring Compliance	6
Consequences of Non-Compliance	6
<b>Reporting and Accountability</b>	6
Reporting Procedures	6
Protection Against Retaliation	7
Enforcement	7
<b>Roles and Responsibilities</b>	7
Individual Responsibilities	7
Management Responsibilities	8
Organizational Responsibilities	8
<b>Acknowledgment and Agreement</b>	8
Acceptance of Terms	8



# Introduction and Purpose

This Ethics Agreement establishes the ethical standards for DocuPal Demo, LLC. It applies to all employees, contractors, and stakeholders. Our goal is to ensure every action aligns with the highest ethical and legal standards.

## Core Principles

This agreement supports our core values of integrity, respect, and responsibility. It provides a framework for ethical decision-making in all business activities. We expect everyone associated with DocuPal Demo, LLC to uphold these principles.

## Scope and Objectives

This document outlines expected conduct regarding confidentiality, conflicts of interest, and compliance with laws and regulations. It also details reporting mechanisms for ethical concerns. By adhering to this agreement, we maintain a culture of trust and accountability. Non-compliance may result in disciplinary action.

# Code of Conduct

## Expected Conduct

DocuPal Demo, LLC, requires all individuals to uphold the highest standards of ethical conduct. This code outlines the principles that guide our actions and decisions. We expect everyone to integrate these standards into their daily work.

## Core Principles

Our code is built on these key ethical principles:

- **Integrity:** We act honestly and ethically in all our dealings.
- **Objectivity:** We remain impartial and unbiased in our judgment.
- **Professional Competence and Due Care:** We maintain our professional skills and act diligently.



- **Confidentiality:** We protect sensitive information entrusted to us.
- **Professional Behavior:** We conduct ourselves in a manner that upholds the reputation of DocuPal Demo, LLC.

## Required and Prohibited Behaviors

To ensure a fair and respectful environment, certain behaviors are required, while others are strictly prohibited:

### Required Behaviors:

- **Honesty:** Always be truthful and transparent in your communications and actions.
- **Fairness:** Treat everyone equitably and avoid favoritism or bias.
- **Respect:** Value and appreciate the diversity of opinions and backgrounds.

### Prohibited Behaviors:

- **Discrimination:** Do not discriminate against anyone based on race, gender, religion, age, or any other protected characteristic.
- **Harassment:** Refrain from any form of harassment, whether verbal, physical, or visual.
- **Fraud:** Never engage in fraudulent activities, including misrepresentation or falsification of information.

## Applying the Standards

Every decision we make should reflect these ethical standards. When faced with uncertainty, seek guidance from supervisors or the ethics compliance team. Making ethical considerations a routine part of your work will help ensure we maintain a culture of integrity and responsibility.

## Confidentiality and Data Protection

DocuPal Demo, LLC is committed to protecting the confidentiality and privacy of sensitive information. This commitment applies to all employees, contractors, and anyone else working with or on behalf of DocuPal Demo, LLC.



## Confidential Information

Confidential information includes, but is not limited to:

- Customer data
- Financial records
- Proprietary technology
- Employee records

All such information, regardless of format, must be treated as confidential. This obligation extends both during and after your association with DocuPal Demo, LLC.

## Data Protection Measures

To protect sensitive data, the following measures must be implemented:

- **Secure Storage:** All confidential information must be stored securely, whether electronically or physically.
- **Access Controls:** Access to confidential information will be restricted to authorized personnel only.
- **Data Encryption:** Encryption will be used to protect sensitive data, both in transit and at rest.
- **Privacy Policy Compliance:** All data handling practices must comply with DocuPal Demo, LLC's privacy policies.

## Legal Compliance

DocuPal Demo, LLC is committed to complying with all applicable data protection laws and regulations, including GDPR and other relevant legislation. All personnel must adhere to these laws and regulations when handling personal data. Any suspected breaches of data protection must be reported immediately.

## Conflict of Interest

DocuPal Demo, LLC requires all individuals associated with the company to avoid situations where personal interests could compromise their professional judgment or the interests of the company. A conflict of interest can arise when an individual's personal, financial, or other interests could potentially influence their decisions or actions related to DocuPal Demo, LLC.



## Identification and Disclosure

It is the responsibility of every employee, contractor, and affiliate to identify and disclose any actual, potential, or perceived conflicts of interest. This includes situations where a family member or close associate could benefit from a company transaction or decision. Disclosure should be made promptly to a supervisor or the designated compliance officer.

## Resolution and Mitigation

Upon disclosure, the conflict of interest will be reviewed. A resolution plan will then be developed and implemented. This plan may include recusal from decision-making processes, establishing independent oversight, or other measures to ensure fairness and impartiality. Transparency is essential in managing conflicts of interest. All relevant parties must be informed of the situation and the steps being taken to mitigate any potential risks.

# Compliance with Laws and Regulations

DocuPal Demo, LLC is committed to conducting its business ethically and in full compliance with all applicable laws and regulations. This commitment extends to all employees, contractors, and representatives acting on behalf of the company.

## Key Legal Obligations

We adhere to the Data Protection Act, ensuring the privacy and security of personal data. We strictly prohibit bribery and corruption in all forms, complying with anti-bribery laws. Furthermore, we are dedicated to meeting all industry-specific regulations relevant to our operations.

## Ensuring Compliance

To ensure compliance, DocuPal Demo, LLC implements regular training programs for all personnel. These programs cover relevant laws, regulations, and company policies. We also conduct periodic audits to assess our compliance efforts and identify areas for improvement. Internal controls are in place to monitor and enforce adherence to these standards.



## Consequences of Non-Compliance

Failure to comply with applicable laws, regulations, or this Ethics Agreement can result in serious consequences. These may include disciplinary action, up to and including termination of employment or contract. Additionally, non-compliance may lead to legal penalties, fines, and damage to the company's reputation. We are dedicated to promoting a culture of compliance and ethical conduct throughout the organization.

## Reporting and Accountability

DocuPal Demo, LLC is committed to upholding the highest ethical standards. This commitment requires all individuals to report any suspected violations of this Ethics Agreement or any other unethical behavior.

### Reporting Procedures

Any individual who believes that a violation of this Ethics Agreement has occurred, or is about to occur, has a responsibility to report it. Reports can be made through several channels:

- **Ethics Hotline:** A dedicated ethics hotline is available for confidential reporting.
- **Direct Supervisor:** Concerns can be raised directly with your immediate supervisor.
- **Compliance Department:** Reports can be submitted directly to the Compliance Department.

DocuPal Demo, LLC will handle all reports with discretion and confidentiality. Access to report details will be limited to authorized personnel who have a need to know in order to investigate and resolve the issue. Every effort will be made to protect the identity of the reporting individual, where possible, and to maintain confidentiality throughout the investigation process.

### Protection Against Retaliation

DocuPal Demo, LLC strictly prohibits retaliation against anyone who reports a suspected violation in good faith. Any form of retaliation will be subject to disciplinary action, up to and including termination of employment. We also offer





anonymity where possible, ensuring people feel safe when reporting.

## Enforcement

Violations of this Ethics Agreement may result in disciplinary action, up to and including termination of employment or contracts. All reported violations will be promptly and thoroughly investigated. DocuPal Demo, LLC is dedicated to ensuring consistent application of these policies. The Compliance Department is responsible for overseeing the enforcement of this Ethics Agreement.

## Roles and Responsibilities

All employees and stakeholders of DocuPal Demo, LLC are responsible for upholding this Ethics Agreement. This includes understanding, adhering to, and promoting the principles outlined within.

### Individual Responsibilities

Each individual is accountable for their conduct and must act with integrity and in compliance with all applicable laws, regulations, and company policies. Individuals must report any suspected violations of this agreement through established reporting mechanisms.

### Management Responsibilities

Managers are responsible for fostering a culture of ethics and compliance within their teams. They must ensure that their team members understand the Ethics Agreement and have access to the resources needed to comply with it. Managers are also responsible for promptly addressing any reported concerns or violations.

### Organizational Responsibilities

DocuPal Demo, LLC commits to supporting ethical conduct by providing training programs, access to legal counsel, and an ethics hotline. The company will communicate responsibilities through company-wide meetings, training sessions, and the employee handbook. DocuPal Demo, LLC will investigate reported violations and take appropriate corrective action.



# Acknowledgment and Agreement

This Ethics Agreement, effective as of January 1, 2024, sets forth the standards of conduct expected of all individuals associated with DocuPal Demo, LLC. This includes, but is not limited to, employees, contractors, consultants, and any other individuals acting on behalf of DocuPal Demo, LLC.

## Acceptance of Terms

By signing this agreement or acknowledging it digitally during onboarding, you signify your understanding and acceptance of the policies and guidelines outlined herein. DocuPal Demo, LLC supports digital signatures and timestamps for verification purposes. Your acceptance confirms your commitment to uphold these ethical standards in all your activities related to DocuPal Demo, LLC. You also acknowledge that you have had the opportunity to seek clarification on any aspect of this agreement. You agree to abide by the principles of confidentiality, avoid conflicts of interest, comply with all applicable laws and regulations, and promptly report any suspected violations of this Ethics Agreement.

