

## **Diversity, Equity and Inclusion Policy**

Brean Capital, LLC is committed to fostering, cultivating and preserving a culture of diversity, equity and inclusion where all employees feel respected and valued regardless of gender, age, race, ethnicity, national origin, sexual orientation, gender identity or expression, physical abilities, culture, marital or parental status, first language, political affiliation, religion, education, geographic background, socio economic status, ancestry, veteran status, personal or recreational habits or any other category. In addition to building a diverse and inclusive workforce, we are working to create a better, more inclusive experience for our clients, investors, vendors and business partners.

**Recognizing Diversity All Around Us.** Human capital is our most valuable asset. Brean values and respects differing views and is committed to celebrating diversity, inclusion and equity and maintaining fair and equal treatment for all. To that end, Brean's goals include leading with respect and tolerance, dedicating time and resources to expanding the diversity of employees, vendors and independent contractors and committing to and encouraging all employees to express these ideals in their work.

**Ensuring Diverse Employees' Talents are Utilized.** Our varied life experiences, innate characteristics and knowledge bases create opportunities for creativity, innovation and self-expression in our entrepreneurial environment. Brean encourages its employees to invest their considerable and unique capabilities into their work. This employee investment represents a significant part of our day to day culture and has driven Brean's growth and achievements.

**Providing Robust Diversity Initiatives.** Brean's diversity initiatives include the following:

- (a) a mandate to work with certified minority and women's owned businesses, including recruiters, law firms and others;
- (b) consciously broadening our recruiting pipelines for interns and employees in order to recruit, attract and retain candidates from diverse backgrounds. Brean partners with resources with access to a broad range of candidates, some of whom are underrepresented in Brean's work force, and networks with organizations that are likeminded in their commitment to diversity, inclusion, and equity;
- (c) enhancing our mentorship programs for summer interns and employees;
- (d) developing a system to create awareness and address and prevent biases during our recruiting, hiring, and evaluating processes;
- (e) promoting transparency about the salary range for posted job descriptions as required by state or local law; and
- (f) conducting meaningful DEI and discrimination and harassment training annually for all of our employees.

**Ensuring the Basics Are Not Forgotten.** At Brean, employees can look forward to a healthy work environment each day because Brean fosters the following among its employees:

- Respectful communication and cooperation between all employees.
- Teamwork and employee participation, celebrating and incorporating the varied perspectives of Brean's diverse employees.
- Work/life balance through flexible work schedules to accommodate employees' varying needs.
- Employer and employee contributions to the communities we serve to promote a greater understanding and respect for the diversity.

Brean leaders manage with respect and tolerance, setting a high bar for all members of the organization. Brean expects all employees to treat each other with dignity and respect at all times. Brean expects employees to be inclusive during all aspects of their work life including while attending Brean-sponsored events. In accordance with this policy, Brean is committed to using its best efforts to address and eradicate systemic inequities that impact the workplace.

For any questions, please contact [DEI@Breancapital.com](mailto:DEI@Breancapital.com).