

Orthodontic Experts
Employee Handbook
(IL)



Effective Date: January 2020

ABOUT THIS HANDBOOK / DISCLAIMER

We prepared this handbook to assist you in finding the answers to many questions that you may have regarding your employment with Orthodontic Experts. Please take the necessary time to read it.

We do not expect this handbook to answer all of your questions. Your Manager and the HR Team will also be a major source of information.

Neither this handbook nor any other verbal or written communication by a management representative, is, nor should it be considered to be, an agreement, contract of employment, express or implied, or a promise of treatment in any particular manner in any given situation. Orthodontic Experts adheres to the policy of employment at will, which permits the Company or the employee to terminate the employment relationship at any time, for any reason, with or without cause or notice.

Employment at-will may only be altered IN AN INDIVIDUAL CASE OR GENERALLY in writing signed by the President of the Company.

Many matters covered by this handbook, such as benefit plan descriptions, are also described in separate Company documents. These Company documents are always controlling over any statement made in this handbook or by any member of management.

This handbook states only general Company guidelines. The Company may, at any time, in its sole discretion, modify or vary from anything stated in this handbook, with or without notice, except for the rights of the parties to terminate employment at will.

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Welcome to Orthodontic Experts

Thank you for your anticipated contribution to the success of our company.

We would like to welcome you to Orthodontic Experts. You are joining a talented group of exceptional people, dedicated to providing exemplary care to our patients. As an employee, you are part of an organization committed to providing quality orthodontic care. We aim to support our employees in an environment that values determination, creativity, continuous improvement, and excellence.

The leadership of Orthodontic Experts, knows that our success is tied to your satisfaction as an employee. As an organization we assist employees with continued education and continuous development on the job, and equip our employees to grow and make a difference in their own lives and the lives of our patients.

This employee manual is designed to provide you with basic information about our philosophy, employee benefits, our expectations, what you can expect of us, and various policies related to your employment.

Purpose of Handbook

The employee handbook contains information regarding our expectations of our employees (hereafter can be referred to as “*Team Member*”), and the expectations you can anticipate from us as your employer.

This document includes the existing policies and practices at Orthodontic Experts (hereafter may be referred to as “*Company*” or “*Organization*”), and it is our intention that this will help to promote consistency, continuity, and understanding within our organization.

This handbook supersedes all earlier written or oral descriptions of the company policies and procedures. Orthodontic Experts may change the policies and procedures described in this manual at any time without further notice.

Section 1 - Company Philosophy and Disclosures

1-1. Mission and Vision Statement

Mission Statement:

We are a friendly, professional, orthodontic team dedicated to providing quality care. We are committed to making a difference in the lives of our team members and empowering them to improve the health and well being of our patients.

Vision:

To make quality, efficient, and affordable orthodontic treatment accessible to every patient.

1-2. Employee Relations Philosophy

Professional commitment, integrity, and cooperation are the qualities that our practice expects from its Team Members. In return, we provide great latitude in individual creativity and decision-making responsibility while encouraging our Team Members to work as a team. We provide support to each Team Member to advance their skills and technical knowledge through academic and practical training.

At Orthodontic Experts, we are committed to higher principles and values, with an emphasis on quality care and ethics. In short, the following are true:

- We respect the individuality of every team member.
- We support and provide training and career development opportunities in an effort to help you achieve your full potential.
- Promotion and leadership opportunities are given based on demonstrated competency, exceptional customer care, and attention to detail. We make every effort to promote from within.
- We provide fair, competitive wages for all employees.
- We promote open communication between leadership and Team Members.

1-3. Patient Relations Philosophy

Satisfied patients and their families are the most valuable assets of our orthodontic practice; they assure us of continued success and continued employment opportunities for our Team Members. All Team Members contribute to making our patients either satisfied or dissatisfied with the services of our practice.

Satisfaction, and therefore the success of our Organization, is composed of many things: a smile, a neat and professional appearance, a friendly atmosphere, returning a phone call in a timely manner, and genuine concern for the patient – things that cost little, but are so important to patients. It is, therefore, the responsibility of every Team Member to always create a positive

atmosphere and thereby consistently maintain maximum satisfaction for all of our patients.

1-4. Community Relations Philosophy

Maintaining good community relations is important to the continued success of our orthodontic practice. It is important that all team members reflect a positive image of the practice in the community. Each team member is considered to be an ambassador to the community at all times, and should conduct themselves in accordance with this belief.

In the event of a community service project undertaken by the practice, you are expected and required to participate. Team members will be paid at their regular rate for all hours worked, unless the event takes place on a holiday. If the event takes place on a holiday, Orthodontic Experts will compensate Team Members accordingly, which may include a higher hourly rate or receiving additional PTO hours.

1-5. Business Ethics and Conduct

The successful business operation and reputation of our orthodontic practice is built upon the principles of fair dealing and ethical conduct of our Team Members. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

In general, the use of good judgment, based on high ethical principles, will guide you with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter should be discussed openly with the Team Member's direct Manager for advice and consultation.

Compliance with this policy of business ethics and conduct is the responsibility of every Team Member. Disregarding or failing to comply with this standard of business ethics and conduct will lead to disciplinary action, up to and including possible termination of employment.

Under no circumstances should any Team Member discuss work or non work related questions of ethics in front of other Team Members, patients, or visitors to the practice. It is the responsibility of the Team Member and manager to allocate the time for a meeting to take place within work hours. All conversations in regards to ethics and questions of integrity are to be kept confidential.

Team Members are expected and required to maintain competency in their field by regular participation in continuing education, personal study, and self-motivation. Continuing education is strongly encouraged.

As part of our corporate ethics policy, all Team Members are expected to do the following:

1. Use good judgment and personal ethics to perform their duties every day.
2. Exhibit the highest standards of integrity, honesty, and care in all activities that relate to Orthodontic Experts.
3. Avoid situations that may pose any conflicts of interest or bias.
4. Respect and ensure safe-keeping of all confidential information that may be accessible to in the course of your duties.
5. Respect the privacy and property of our company, our patients, and those that we work with.
6. Strive to always uphold the Orthodontic Experts mission of providing the highest quality of care with respect and dignity.
7. Keep all relevant internal parties informed of changes in availability, status, contact information, professional affiliations and licenses, and so forth.
8. Respect the structure of our company, adhering to assigned duties, following the directions of management, and upholding our policies and procedures.
9. Through professional conduct, serve as a positive example to others in the organization and represent Orthodontic Experts respectfully.
10. Be truthful in all that is done and said, including only making truthful statements about experience, abilities, performance, and actions.

1-6. Employment-At-Will

This employee manual is meant to guide you in your work with Orthodontic Experts and your interactions with our patients. This handbook is not a contract, expressed or implied, and does not offer a guarantee of employment for any duration. While we hope that you will be an effective part of our team for a long time to come, your employment is at-will. This means that either Orthodontic Experts or you may terminate your employment at any time, for any reason, with or without cause or notice. No agent of the company – no Manager, team leader or other representative – has the authority to enter into any contract or agreement for any specified time period or make any promises that conflict with this handbook without the written approval of The Company's President.

1-7. Equal Employment Opportunity

Orthodontic Experts is an Equal Opportunity Employer that does not discriminate on the basis of actual or perceived age, gender identity, pregnancy, disability or handicap, veteran status, national origin, ethnicity, sexual orientation, race, religion, citizenship status, sex, marital status, genetic information, arrest record, or any other characteristic protected by applicable federal, state, or local laws. Our management team is dedicated to this policy with respect to recruitment, hiring, placement, promotion, transfer, training, compensation, benefits, employee activities and general treatment during employment.

The Company will endeavor to make a reasonable accommodation to the known physical or mental limitations of qualified employees with disabilities unless the accommodation would impose an undue hardship on the operation of our business. If you need assistance to perform your job duties because of a physical or mental condition, please notify your Manager and HR team.

Religious beliefs of Team Members will be accommodated religious to the extent such accommodation does not pose an undue hardship on the Company's operations and are consistent with OSHA standards. If you wish to request accommodation, please speak to your Manager and Human Resources team.

Any Team Member with questions or concerns about equal employment opportunities in the workplace are encouraged to bring these issues to the attention of their Manager or the Human Resources department.

Note: If your Manager is the person toward whom the concern is directed, you should contact the Human Resources department, your Operations Manager, or the company Vice President. The Company will not allow any form of retaliation against individuals who raise issues of equal employment opportunity. If an employee feels he or she has been subjected to any such retaliation, he or she should bring it to the attention of the Human Resources Department immediately along with a written statement. To ensure our workplace is free of artificial barriers, violation of this policy, including any improper retaliatory conduct will lead to discipline, up to and including termination. During an investigation, we ask that all Team Members cooperate to the best of their abilities.

1-8. Non-Harassment Policy

It is Orthodontic Experts's policy to prohibit intentional and unintentional harassment of any individual by another person on the basis of any protected classification including, but not limited to actual or perceived age, gender identity, pregnancy, disability or handicap, veteran status, national origin, ethnicity, sexual orientation, race, religion, citizenship status, sex, marital status, genetic information, arrest record, or any other characteristic protected by applicable federal, state, or local laws. The purpose of this policy is not to regulate our employees' personal morality, but to ensure that in the workplace, no one harasses another individual.

If the employee feels that he or she has been subjected to conduct which violates this policy, the employee should immediately report the matter to a member of the management team. Any reported incidents of harassment will be investigated accordingly by the management team and the Human Resources Department. If the person toward whom the complaint is directed is one of the individuals indicated above, the employee should contact the Vice President or President.

Every report of perceived harassment will be fully investigated and corrective action will be taken where appropriate. All complaints will be kept confidential to the extent possible, but

confidentiality cannot be guaranteed. In addition, the Company will not allow any form of retaliation against individuals who report unwelcome conduct to management or who cooperate in the investigations of such reports in accordance with this policy. If an employee feels he or she has been subjected to any such retaliation, he or she should report it in the same manner in which the employee would report a claim of perceived harassment under this policy. Violation of this policy including any improper retaliatory conduct will result in disciplinary action, up to and including termination. During an investigation, we ask that all Team Members cooperate to the best of their abilities.

1-9. Sexual Harassment Policy

It is Orthodontic Experts's policy to prohibit harassment of any employee by any Manager, employee, customer, or vendor on the basis of sex or gender identification. The purpose of this policy is not to regulate personal morality within the Company; it is to ensure that at the Company all employees are free from sexual harassment.

While it is not easy to define precisely what types of conduct could constitute sexual harassment and there is a wide range of behavior that may violate this policy even if such behavior does not violate the law, examples of prohibited behavior include unwelcome sexual advances, requests for sexual favors, obscene gestures, displaying sexually graphic magazines, calendars or posters, sending sexually explicit e-mails, text messages and other verbal or physical conduct of a sexual nature, such as uninvited touching of a sexual nature or sexually related comments. Depending upon the circumstances, improper conduct also can include sexual joking, vulgar or offensive conversation or jokes, commenting about an employee's physical appearance, conversation about your own or someone else's sex life, or teasing or other conduct directed toward a person because of his or her gender which is sufficiently severe or pervasive to create an unprofessional and hostile working environment.

If the employee feels that he or she has been subjected to conduct which violates this policy, the employee should immediately report the matter to a member of the management team. Any reported incidents of harassment will be investigated accordingly by the management team and the Human Resources Department. If the person toward whom the complaint is directed is one of the individuals indicated above, the employee should contact the Vice President or President.

Every report of perceived harassment will be fully investigated and corrective action will be taken where appropriate. All complaints will be kept confidential to the extent possible, but confidentiality cannot be guaranteed. In addition, the Company will not allow any form of retaliation against individuals who report unwelcome conduct to management or who cooperate in the investigations of such reports in accordance with this policy. If you feel you have been subjected to any such retaliation, report it in the same manner you would report a claim of perceived harassment under this policy. Violation of this policy including any improper retaliatory conduct will result in disciplinary action, up to and including termination. All employees must cooperate with all investigations.

1-10. Reporting Harassment

If you experience or witness harassment in the workplace you should do and know the following:

1. If possible and not dangerous, confront the harasser and tell them to stop their harassment. Remember that often a simple confrontation can end a hostile situation.
2. If you are unable or unwilling to confront the harasser, immediately report the situation to your Manager, Operations Manager or the Human Resources Department. You may always feel comfortable reporting behavior that you, in good conscience, feel constitutes harassment.
3. Know that the company will investigate all reports of harassment. We will take appropriate action including potential disciplinary measures and even termination, if appropriate. However, you may not know the outcome of the investigation, as these will be done with as much confidentiality as possible.
4. Orthodontic Experts will not tolerate any retaliation against an employee who reports harassment, files a complaint, or testifies, assists or participates in any investigations conducted by the company, local, state or federal agencies.

All Team members have access to the **Red Flag Hotline** phone number which is located in all of the clinics and supporting offices. The direct phone number is (855)-978-6771. The Red Flag Hotline number can be used to report incidents of harassment.

All Team Members also have access to the Employee Assistance Program (EAP) as support during times of crisis. Telecom counseling, as well as other services are available for Team Member use. The EAP can be accessed toll-free at (800)-450-1327 or online at MagellanHealth.com/member.

1-11. Policy Against Defamation

Team Members are expected and required to refrain from making false statements or spreading rumors that may possibly be damaging to the reputation of the owners, other employees, patients, the practice as a whole, and the dental profession in general. Any employee suspected to be involved in the spread of such rumors or making negative and/or damaging statements will be disciplined up to possible termination of employment. Orthodontic Experts also reserve the right to pursue legal action as necessary.

Section 2 - Company Policy and Conduct

2-1. Workplace Conduct

Orthodontic Experts endeavors to maintain a positive work environment. Each team member plays a role in fostering this environment. Accordingly, we all must abide by certain rules of conduct, based on honesty, common sense and fair play.

Because everyone may not have the same idea about proper workplace conduct, it is helpful to adopt and enforce rules all can follow. Unacceptable conduct may subject to disciplinary action, up to and including termination, in the Company's sole discretion. The following are examples of some, but not all, conduct which can be considered unacceptable:

1. Obtaining employment on the basis of false or misleading information.
2. Stealing, removing or defacing Orthodontic Experts property or a co-worker's property, and/or disclosure of confidential business information.
3. Falsifying self's or another employee's time records.
4. Violation of safety rules and policies.
5. Fighting, threatening or disrupting the work of others or other violations of Orthodontic Experts's Workplace Violence Policy.
6. Failure to follow lawful instructions of a Manager.
7. Failure to perform assigned job duties.
8. Violation of the Punctuality and Attendance Policy, including but not limited to irregular attendance, habitual lateness or unexcused absences.
9. Gambling on Company property.
10. Bullying of a patient or a coworker.
11. Wasting work materials.
12. Performing work of a personal nature during working time.
13. Violation of the Solicitation and Distribution Policy.
14. Violation of Orthodontic Experts's Harassment or Equal Employment Opportunity Policies.
15. Violation of the Communication and Computer Systems Policy.
16. Unsatisfactory job performance.

17. The unlawful or unauthorized use, abuse, solicitation, distribution, theft, possession, transfer, purchase, or sale of drugs, drug paraphernalia or alcohol by an individual anywhere on Company premises, while on Company business (whether or not on Company premises), or while representing the Company, reporting to work or remaining on duty after using drugs or alcohol in any amount that adversely affects the employee's ability to perform the functions of the job. Please refer to your Company's specific policy (if any) for additional information.

Note that not every type of misconduct can be listed. All employees are employed at-will, and Orthodontic Experts reserves the right to terminate employment should an employee not conduct accordingly. The Company will review each case as a case by case scenario. This handbook should be construed as a promise of specific treatment in a given situation. However, Orthodontic Experts will endeavor to utilize progressive discipline, but reserves the right in its sole discretion to terminate an employee at any time for any reason.

The observance of these rules will help to ensure that our workplace remains a safe and desirable place to work.

2-2. Team Communications

At Orthodontic Experts, we strive to ensure open, honest communication at all times. In all situations, your first source of information and your first portal for communications is your manager. In fact, one of your manager's main duties is to ensure a timely, accurate flow of information. You should always feel free to go to your manager with any questions, problems, or concerns. You should also freely share ideas with your Manager, as we all strive for continuous improvement in our client care and work. Communication should be reciprocal. If a manager or Team Member calls, emails, or contacts you, it is expected that the team member will respond in a timely manner.

2-3. Absenteeism

Absenteeism generally refers to a circumstance in which a Team Member is habitually absent or not present at work during a normally scheduled work hours. The team members absences may be either scheduled or unscheduled.

- **Scheduled:** Absences typically scheduled in advance include paid time off, medical appointments, military service, family activities, jury duty, funerals, and other events which cannot be scheduled outside of regular work hours.
- **Unscheduled:** Absences typically occur as a result of illness, family emergencies, transportation emergencies, family member illness and/or death, and household emergencies such as flooding.
- **Excused:** An excused absence is one which is scheduled and approved by the Team Member's manager in advance of the absence for such events as paid time off, medical

appointments, military service, jury duty, funerals, and events or activities which are scheduled outside of regular work hours. Unscheduled absences for illness, family member illness or death, and similar unanticipated circumstances may also be treated as “excused.”

- **Unexcused:** An unexcused absence is one that is not approved by Orthodontic Experts, which may include an absence due to illness without providing a doctor’s note.

You are required to be at your clinic location, be ready to work, and punch in at least fifteen (15) minutes before the first patient of the day.

Illinois State Law requires meal break; that employees will receive a meal break when working at least seven and a half continuous hours. This break will be at least 20 min long, and it will start no later than five hours after the beginning of the shift.

You must return from lunch, be ready to work, and be punched in 5 minutes before the next patient is set to arrive.

All team members are expected to contact the direct manager at least 4 (four) hours prior to the beginning of your shift with the reason for the absence, as well as the expected return date, so that proper arrangements can be made during your absence. Failure to notify us in time and/or excessive absenteeism or tardiness may be grounds for disciplinary action up to and including termination. If a team member is unable to report for work due to sickness, a physician’s clearance is encouraged to return to work. Absences due to medical condition or illness that last longer than three (3) days may be required to bring a doctor’s note upon return to work. Failure to provide a physician’s written clearance can be grounds for termination of employment with cause.

2-4. Company Confidential Information

In the course of your work, it is likely that you will have access to information and material that is considered to be confidential, and is not to be discussed or given to people outside the practice. This may include but not be limited to patient lists, fee listings, patients’ medical, dental and personal history as well as patients’ personal and financial records, habits, tendencies, and private any proprietary information about company operations, marketing, etc.

Every employee must, as a condition of employment, sign and agree to abide by our confidentiality agreement.

This confidentiality must be maintained not only while employed by this practice, but also after you are no longer employed by this practice. Failure to maintain this confidentiality may result in legal ramifications. In the case of a breach of confidentiality with a criminal element (for example, obtaining and using a patient’s or co-worker’s credit card information or social security

number), criminal charges will be filed.

All matters relating to our patients and the office are confidential and are never to be discussed outside the office or within the hearing of another patient. All clinical and financial patient records are the property of Orthodontic Experts and may not be removed from the premises or duplicated without authorization.

2-5. Publicity/Statements to the Media

All media inquiries regarding the position of the Company as to any issues must be referred to the President. Only the President is authorized to make or approve public statements on behalf of the Company. No team member, unless specifically designated by the President, is authorized to make those statements on behalf of the Company. Any Team Member wishing to write and/or publish an article, paper, or other publication on behalf of the Company must first obtain approval from the President.

2-6. Employee Meetings

Attendance and participation in all scheduled employee meetings are considered part of your responsibilities as a Team Member. If you are unable to be present, notify your direct manager immediately, and submit any required information based on the meeting agenda, in writing. During the employee meetings, it is a requirement for Team Members to not only be present, but also to be attentive and contributory.

Team Members that are not able to attend an employee meeting are responsible for collecting and reviewing any information presented at the meeting.

Regular meetings will be scheduled weekly, biweekly or monthly as demanded by the needs of the company. Dates and times of the meetings will be announced with adequate notice whenever possible. Suggestions for improvements in any area of our business are encouraged. Be advised that impromptu meetings may be called without prior notice.

Team meetings are held with the purpose of identifying and discussing problem areas, communicating new policies and procedures, and celebrating team successes. Teamwork is encouraged and no individual staff member will be singled out whenever it can be avoided.

2-7. Daily Huddle

Daily huddles are necessary to ensure smooth daily operations. This time is allotted to discuss the schedule of the day, including particular concerns about patient care, delivery and assignment of individual duties, and responsibilities of each Team Member for the day. Daily huddles will take place in the first 15 minutes before patients are scheduled.

2-8. Employee Dress and Personal Appearance

At all times, personal cleanliness is essential to the operation of Orthodontic Experts. Personal hygiene is essential to maintaining office hygienic procedures, patient relations, and relationships with other Team Members. Personnel must adhere to the dress code of their specific position. Blue jeans are only allowed on casual Fridays. Hair should be neat and well managed; long hair needs to be secured if the Team Member is interacting with patients. Nails should be well manicured and an appropriate length for the Team Member's specific job duties and should not affect his or her ability to complete their job duties safely and effectively. It is expected that Team Members make a reasonable effort into concealing visible tattoos on areas not covered by clothing. On patient days, visible piercings must be studs or small hoops, and facial piercings must be removed; gauges or large hoops will not be permitted. If a team member doesn't wish to remove facial piercings, they may wear clear acrylic or alternative "invisible" jewelry. Cologne, make-up, and jewelry should be worn moderately.

In Orthodontic Experts clinics, name tags are required to be worn at all times. A name tag will be provided at employer's expense. Should, at any point, a Team Member need another name tag, a \$10 fee will be deducted from the Team Member's paycheck. If Team Members are issued a uniform, the uniform must be returned upon termination. If the uniform is not returned upon termination, a charge will be deducted from the Team Member's last paycheck (\$40.00 per uniform set).

2-9. Drug and Alcohol Policy

Orthodontic Experts is committed to protecting the health, safety, and well-being of all team members. Alcohol abuse and drug use can pose significant health, safety, and well-being concerns within the Orthodontic Experts working environment.

It is the policy of Orthodontic Experts to maintain a drug-free workplace. The unlawful manufacture or distribution of illicit drugs in the workplace is prohibited. In addition, the illegal use of drugs or alcohol or misuse of drugs or alcohol in the workplace is prohibited. The workplace includes all Orthodontic Experts premises. Although possession and use of marijuana is legal under limited circumstances under state law, Orthodontic Experts reserves the right to prohibit the use and possession of marijuana in any and all Orthodontic Experts property and locations.

In regards to drug-testing to maintain a drug-free environment, Orthodontic Experts will comply with all HIPAA guidelines and State Privacy laws.

2-10. Personal Property

Team Members keeping personal property on our premises should make adequate provisions to ensure safety of their property. Orthodontic Experts cannot be held liable for any theft or damage to any personal property of the Team Member. Please place identifying marks on your personal

belongings.

2-11. Inspections

Orthodontic Experts reserves the right to conduct random searches of property owned by Orthodontic Experts, including but not limited to company vehicles, desks, cabinets, work stations, common spaces such as breakrooms, cubbies, lockers, etc.

If deemed necessary by management, Team Members may be subject to inspections of their person and/or personal property conducted by law enforcement agencies. Team Members are expected to cooperate in the conduct of any search or inspection.

2-12. Conflict of Interest and Business Ethics

It is Orthodontic Experts's policy that all Team Members avoid any conflict between their personal interests and those of the Company. The purpose of this policy is to ensure that the Company's honesty and integrity, and therefore its reputation, are not compromised. The fundamental principle guiding this policy is that no Team Member should have, or appear to have, personal interests or relationships that actually or potentially conflict with the best interests of the Company.

Some situations that would constitute a conflict in most cases include but are not limited to:

1. Holding an interest in or accepting free or discounted goods from any organization that does, or is seeking to do, business with the Company, by any employee who is in a position to directly or indirectly influence either the Company's decision to do business, or the terms upon which business would be done with such organization.
2. Holding any interest in an organization that competes with the Company.
3. Being employed by (including as a consultant) or serving on the board of any organization which does, or is seeking to do, business with the Company or which competes with the Company.
4. Profiting personally, e.g, through commissions, loans, expense reimbursements or other payments, from any organization seeking to do business with the Company.

A conflict of interest would also exist when a member of an employee's immediate family is involved in situations such as those above.

This policy is not intended to prohibit the acceptance of modest courtesies, openly given and accepted as part of the usual business amenities, for example, occasional business-related meals or promotional items of nominal or minor value.

It is your responsibility to report any actual or potential conflict that may exist between you (and your immediate family) and the Company.

2-13. Hiring Relatives/Employee Relationships

A familial relationship among employees can create an actual or at least a potential conflict of interest in the employment setting, especially where one relative supervises another relative. To avoid this problem, Orthodontic Experts may refuse to hire or place a relative in a position where the potential for favoritism or conflict exists.

In other cases such as personal relationships where a conflict or the potential for conflict arises, even if there is no Managerial relationship involved, the parties may be separated by reassignment. If reassignment is not possible or puts an undue hardship upon the company, Orthodontic Experts reserves the right to terminate the employment of either party in extreme cases. The Company generally will attempt to identify other available positions, but if no alternate position is available, the Company retains the right to decide which employee will remain with the Company. Accordingly, all parties to any type of intimate or romantic personal relationship must inform management, and all intimate or romantic relationships will be documented with Human Resources.

For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage.

2-14. Employment Outside Orthodontic Experts

If Team Members have employment outside of Orthodontic Experts, it is the Team Member's responsibility to ensure that the other job does not present any ethical conflicts of interest and will not damage the ability to work effectively for Orthodontic Experts. If, at any time, a Manager feels that a Team Member's other job is conflicting with his or her position at Orthodontic Experts, the Manager may discuss options with the Team Member in order to accommodate the Team Member while protecting the needs of Orthodontic Experts.

2-15. Reporting Unethical Behavior

You should report any unethical actions that could lead to a negative working environment in our effort to keep the Orthodontic Experts workplace free of any unethical, unsafe or illegal behavior. Any employee who reports unethical or illegal behavior is not to be subjected to any retaliation or retribution. The following applies to all reports of unethical behavior:

- Report any unethical behavior that you witness promptly to your clinic manager or immediate Manager.
- You may report an event anonymously, if you wish. Be aware that a report filed anonymously may have limited ability to address the incident. It is encouraged, but not required, to identify yourself when reporting an incident.
- Providing you make a report in good faith, meaning that you reported something that you

believed was true, without malice or intent to damage another person or their reputation, you shall not be subject to any retaliation or negative consequences.

- Anyone who reports behavior and is found to be lying, not reporting in good faith, or reporting with the intent to hurt and damage another may be subject to discipline including, but not limited to, reprimand or termination.
- Anyone who retaliates against a person who reports unethical behavior will be subject to discipline including, but not limited to, reprimand or termination.
- Any serious ethical violations such as assault, rape, theft, etc. should be immediately reported to local law enforcement.
- Any Manager or leader who receives a report about unethical behavior must take prompt action to report the incident so that Human Resources can immediately investigate. If necessary, law enforcement will be notified.
- The identity of a person making a report will be kept confidential, if possible. However, in some situations, such as the involvement of law enforcement, this may not be possible.

2-16. Filing Complaints

Orthodontic Experts values your input, perceptions, and feelings. We recognize that if you do not feel good about the company and your work that these feelings will impact your performance, and possibly impact the success of the entire organization. We are committed to providing a positive work environment for all Team Members. This includes fostering an environment of trust, respect and open communication. In such an environment work-related concerns and problems can be resolved.

The company will do their best to resolve all problems that you report. However, if the efforts of your manager are insufficient and you are still dissatisfied you should do the following:

1. Discuss the concern again with your manager, providing them with another opportunity to investigate your concern and provide their input.
2. If the problem is still not resolved you may talk to the Human Resources Department about it. They will further investigate and take action, as appropriate. Please reach out to Job@orthodonticexperts.com via email along with a completed incident report.

Orthodontic Experts will not allow any retaliation against Team Members who use these procedures in an attempt to solve a problem.

2-17. Disciplinary Action

All Orthodontic Experts Team Members are expected to comply with the high standards that we have set for behavior and performance, while reflecting the mission and vision of the company. Any deviance from these standards must be corrected by Orthodontic Experts leadership.

In general, Orthodontic Experts will use a policy of progressive discipline, where Team

Members are provided notice of non-compliance and given time to correct their behavior. However, more serious violations may result in immediate termination; Orthodontic Experts reserves the right to discipline in any manner that they deem appropriate, up to and including immediate termination.

Section 3 - Operating Procedures

3-1. Employment Records and Record Retention

Orthodontic Experts keeps employment records for all Team Members. All information is kept confidential on computer and printed files. To ensure that our database is current, managers should be informed promptly of any changes in personal information, such as name change, marital status, mailing address, telephone number, email address, names of dependents, emergency contact(s), educational achievements, licensure and so forth. Team Members may ask Human Resources to review personnel records at any time. As of July 2019, Orthodontic Experts utilizes Paylocity. All records pertaining to your employment will be electronic.

The Company acknowledges its responsibility to preserve information relating to litigation, audits and investigations. Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the Company and its employees and possible disciplinary action against responsible individuals (up to and including termination of employment). Each employee has an obligation to contact the Human Resources department to inform them of a potential or actual litigation, external audit, investigation or similar proceeding involving the Company that may have an impact on record retention protocols.

Team Members and terminated Team Members have the right to request records at any point. Orthodontic Experts reserves the right to charge \$0.05 per page of requested documents, and has 7 business days to respond to any record requests.

3-2. Employee Service Credit

"Length of service" refers to the length of time that Team Members spend as active full-time or part-time employees with Orthodontic Experts. Service begins on the day Team Members become full-time or part-time employees.

Length of service may be used in determining certain employee benefits, such as time-off, insurance, or 401k benefits. If terminated, certain benefits will terminate and will not be reinstated until the applicable waiting period has been met, according to company policy. The HR Department will discuss this issue with any rehired Team Members upon rehire.

3-3. References

Orthodontic Experts will respond to reference requests through the Human Resources

department. The Company will provide general information concerning the employee such as date of hire, date of termination, and positions held. Requests for reference information must be in writing, and responses will be in writing. Please refer all requests for references to the Human Resources department.

Only the Human Resources Department may provide references.

3-4. HIPAA/OSHA Requirements

A copy of our master manual is kept at each clinic. Team Members are required to pass the HIPAA/OSHA training provided by Orthodontic Experts. New Team Members are required to take the HIPAA/OSHA training within thirty (30) days of employment, and again annually.

3-5. Health and Safety

The health and safety of employees and others on Company property are of critical concern to Orthodontic Experts. The Company intends to comply with all health and safety laws applicable to our business. We must rely upon employees to ensure that work areas are kept safe and free of hazardous conditions. Employees are required to be conscientious about workplace safety, including proper operating methods, and recognize dangerous conditions or hazards. This includes any verbal or physical interactions or altercations with patients.

Any unsafe conditions or potential hazards should be reported to management immediately, even if the problem appears to be corrected. Any suspicion of a concealed danger present on the Company's premises, or in a product, facility, piece of equipment, process or business practice for which the Company is responsible should be brought to the attention of management immediately. If at any time, a Team Member feels unsafe due to either operational hazards or individuals in the facility, including other Team Members, patients, or outside vendors, the Team Member must contact their direct supervisor or Human Resources.

Periodically, the Company may issue rules and guidelines governing workplace safety and health. The Company may also issue rules and guidelines regarding the handling and disposal of hazardous substances and waste. All employees should familiarize themselves with these rules and guidelines, as strict compliance will be expected. All Team Members are expected to complete annual training as directed, which may include OSHA, CPR, Hazcom, etc.

Any workplace injury, accident, or illness must be reported to the employee's Manager as soon as practically possible, regardless of the severity of the injury or accident. All incidents involving workplace safety must be recorded on a formal Incident Report and submitted to Human Resources by end of work day.

3-6. Interruption of Work due to Weather, Natural Disaster, or Unforeseen Events

In the event that Orthodontic Experts is not able to open or that the start of the day's work is delayed due to weather, natural disaster, or any unforeseen event, the Department/Clinic Manager will attempt to contact each employee before regularly scheduled business hours. If you arrive at work and find that we are being affected by such an event, you may be released to go home, and will be paid only for the time that has elapsed between when you arrived for work and the time that you were released to go home.

For purposes of this section, "weather, natural disaster, or any other unforeseen event" shall include but not be limited to actual or in-progress excessive snowfall, actual or in-progress severe icing of roadways, extended periods of severe cold, power failure, earthquake, tornado, fire, flood, lack of work, cancellation or no-show of the last or all remaining patients for the day.

During a weather or natural disaster event, non-exempt Team Members have the option to either work remotely or utilize PTO. If the Team Member has no PTO remaining, the Team Member must take unpaid time off.

Exempt Team Members have the option to work remotely, utilize PTO, or make up the hours within a two week period. If the work hours missed due to the weather or natural disaster event are not made up within a two week period, PTO will automatically be applied to the Team Member's time card.

3-7. Workers' Compensation

On-the-job injuries are covered by our Workers' Compensation Insurance Policy, which is provided at no cost to Team Members. If you are injured on the job, no matter how slightly, report the incident immediately to your Manager. Failure to follow Company procedures may affect your ability to receive Workers Compensation benefits.

This is solely a coverage of services rendered to treat any injuries resulting from a workplace incident. Employees who need to miss work due to a workplace injury must also request a formal FMLA leave.

3-8. Workplace Violence

Orthodontic Experts is strongly committed to providing a safe workplace. The Company does not expect you to subdue a threatening or violent individual. Orthodontic Experts specifically discourages its Team Members from engaging in any physical or verbal confrontation with a violent or potentially violent individual. However, it is expected and encouraged that you exercise reasonable judgment in identifying potentially dangerous situations.

Troubled individuals often exhibit one or more of the following behaviors or signs:

over-resentment, anger, hostility, extreme agitation, making ominous threats, a sudden and significant decline in work performance, irrational or aggressive behavior, reacting to questions with an antagonistic or overtly negative attitude, discussing weapons and their use, displaying weapons in the workplace, overreacting or reacting harshly to changes, obsession or preoccupation with a co-worker or Manager, or attempts to sabotage the work or equipment of a co-worker.

Prohibited Conduct

Threats, threatening language or any other acts of aggression or violence made toward or by any Company employee will not be tolerated, and will lead to immediate termination. For purposes of this policy, a threat includes any verbal or physical harassment or abuse, any attempt at intimidating or instilling fear in others, menacing gestures, flashing of weapons, stalking or any other hostile, aggressive, injurious, or destructive action undertaken for the purpose of domination or intimidation. To the extent permitted by law, employees and visitors are prohibited from carrying weapons on the Company premises.

Procedures for Reporting a Threat

All potentially dangerous situations, including threats by co-workers, should be reported immediately to any member of management with whom you feel comfortable. Reports of threats may be maintained confidential to the extent maintaining confidentiality does not impede our ability to investigate and respond to the complaints. All threats will be promptly investigated once the written statement is received. All Team Members must cooperate with all investigations. No Team Member will be subjected to retaliation, intimidation or disciplinary action as a result of reporting a threat in good faith under this policy.

Active Shooter

In order to preserve life and address the reality of an active shooter event, these guidelines have been established to guide our response to this event to maximize survival.

- A. The intent of most active shooters is to kill as many people as quickly as possible. Traditional law enforcement response will include the concept of “surround and contain” in order to minimize the number of victims. In order to save lives, the law enforcement agency having jurisdiction will initiate an immediate response.
- B. Upon discovery of an active shooter situation, **as soon as possible** and when safe to do so, notify law enforcement (**911**) and if possible, make an announcement through whatever means available of a **Code Silver** or “**Active Shooter**” and location.
 - 1. The phone call to 911 (from a safely concealed area) should provide the following:

- a. Description of suspect and possible location.
 - b. Number and types of weapons.
 - c. Suspect's direction of travel.
 - d. Location and condition of any victims
- C. Safety & Security Officers and/or the Administrator/Person in Charge will meet and guide law enforcement officers if possible and as appropriate.
- D. **Response:**
 1. **Evacuate** - If there is an accessible escape path, attempt to quickly evacuate the premises. Be sure to:
 - Have an escape route and plan in mind
 - Evacuate regardless of whether others agree to follow
 - Leave your belongings behind
 - Help others escape, if possible
 - Prevent individuals from entering an area where the active shooter may be
 - Keep your hands visible
 - Follow the instructions of any police officers
 - Do not attempt to move wounded people
 - Call 911 when you are safe
 2. **Hide out** - If evacuation is not possible, find a place to hide out of the active shooter's view
 - Direct personnel into rooms or other adjacent rooms, close the door and attempt to barricade the door. Lock the door if possible.
 - If possible, your hiding place should:
 - Provide protection if shots are fired in your direction (i.e., locating into a bathroom and locking the door, stay as low to floor as possible and remain quiet and still)
 - Not trap you or restrict your options for movement
 3. To prevent an active shooter from entering your hiding place:
 - Blockade the door with heavy furniture
 4. If the active shooter is nearby:
 - Place cell phone on silent: disable ring as well as vibrate options
 - Turn off any source of noise (i.e., radios, televisions)

- Hide behind large items (i.e., cabinets, desks)
 - Remain quiet
5. If evacuation and hiding out are not possible:
- Place cell phone on silent: disable ring as well as vibrate options
 - Remain calm
 - Dial 911, if possible, to alert police to the active shooter's location
 - **If you cannot speak, leave the line open and allow the dispatcher to listen**
6. Take action against the active shooter - As a last resort, and only when your life is in imminent danger, attempt to:
- Disrupt and/or incapacitate the active shooter by:
 - Acting as aggressively as possible against him/her
 - Throwing items and improvising weapons
 - Yelling
 - Committing to your actions
- E. An “all clear” Code Silver will be announced when the situation has been addressed and the scene is declared safe by law enforcement officials.
- F. **Recovery:** Share Information with Employees - The health and wellbeing of our patients and employees is critical. As soon as possible after law enforcement has relinquished Command and Control of the scene, the facility administrator and social worker will develop information strategies to address patient, employee, and family questions related to the event.

Employee Assistance Program [EAP]-After an incident occurs, affected Team Members should utilize a Toll Free counseling session in which they can speak to a licenced professional. The direct phone number is (800)-450-1327. This service may also be utilized for any work or non work related counselling and can be used by all Team Members.

Section 4 - Appropriate Use

4-1. Office Cleanliness

Every Team Member will be responsible for keeping their working area clean, fully stocked, and organized. In addition, all Team Members should contribute to the overall cleanliness of the office by keeping the common staff and patient areas clean and tidy. In the event of an accident caused by a patient, malfunction of equipment, or other occurrence, any spills are to be cleaned

by the Team Member(s) working in the vicinity of the accident. It is every staff member's responsibility to keep work areas neat and clean and to correct or report any conditions that detract from the professional image of the facility.

4-2. Food or Drink in the Office

Eating must be limited to lunch or break times and take place in the designated employee lounge area only. Drinking coffee, tea, water or other beverages at the desk is not allowed unless in a covered container. Food or drink of any kind are not permitted in the clinical, sterilization, or laboratory areas. Chewing gum while interacting with patients is not permitted.

Orthodontic/dental materials can only be stored in the breakroom fridge when a separate refrigerator is not available; supplies must be in unopened packages.

Each office may have its own policy on labelling personal food and a schedule that dictates when food will be removed and the shared space will be cleaned.

4-3. Use of Facilities, Equipment, and Property, Including Intellectual Property

Equipment essential in accomplishing job duties is often expensive and may be difficult to replace. When using property, Team Members are expected to exercise care, perform required maintenance, and follow all operating instructions, safety standards and guidelines. Please notify your Manager immediately if any equipment, machines, or tools appear to be damaged, defective, or need repair.

Employees also are prohibited from any unauthorized use of the Company's intellectual property, such as audio and video tapes, print materials and software.

Improper, careless, negligent, destructive, or unsafe use or operation of equipment can result in discipline, up to and including termination.

4-4. Solicitation and Distribution

To avoid distractions, solicitation by an employee of another employee is prohibited while either employee is on working time. Solicitation of any kind by non-employees on Company premises is prohibited at all times.

Distribution of advertising material, handbills, printed or written literature of any kind in working areas by either Team Member or non-employees on Company premises is prohibited at all times.

4-5. Smoking

Smoking, including the use of e-cigarettes, is prohibited in Company vehicles and within 15 feet of Company premises.

4-6. Use of Communication and Computer Systems

Orthodontic Experts' communication and computer systems are intended primarily for business purposes. This includes voicemail, email and internet systems. Users have no legitimate expectation of privacy in regard to their use of the Orthodontic Experts systems.

Orthodontic Experts may access the voicemail and email systems and obtain the communications within the systems, including past voicemail and email messages, without notice to users of the system, in the ordinary course of business when the Company deems it appropriate to do so.

The Company's policies prohibiting harassment, in their entirety, apply to the use of Company's communication and computer systems. No one may use any communication or computer system in a manner that may be construed by others as harassing or offensive based on race, national origin, sex, sexual orientation, age, disability, religious beliefs or any other characteristic protected by federal, state or local law.

The Company's communication and computer systems are intended for business use, all employees, upon request, must inform management of any private access codes or passwords.

No employee may access, or attempt to obtain access to another employee's computer systems without appropriate authorization.

Violators of this policy may be subject to disciplinary action, up to and including termination.

4-7. Personal and Company-Provided Portable Communication Devices

Company-provided portable communication devices (PCDs), including cell phones and personal digital assistants, should be used primarily for business purposes. Employees have no reasonable expectation of privacy in regard to the use of such devices, and all use is subject to monitoring, to the maximum extent permitted by applicable law. This includes as permitted the right to monitor personal communications as necessary.

Some employees may be authorized to use their own PCD for business purposes. These employees should work with the IT department to configure their PCD for business use. Communications sent via a personal PCD also may be subject to monitoring if sent through the Company's networks.

When sending a text message or using a PCD for business purposes, whether it is a

Company-provided or personal device, employees must comply with applicable Company guidelines, including policies on sexual harassment, discrimination, conduct, confidentiality, equipment use and operation of vehicles. Using a Company-issued PCD to send or receive personal text messages is prohibited at all times and personal use during working hours should be limited to emergency situations. The employee should notify their manager if they have an emergency situation.

Upon termination, if the employee does not return the company-owned PCD, the company reserves the right to contact the local police department and file a police report.

Employees may not use their personal PCD for business unless they agree to submit the device to the IT department on or before their last day of work for resetting and removal of Company information. This is the only way currently possible to ensure that all Company information is removed from the device at the time of termination. The removal of Company information is crucial to ensure compliance with the Company's confidentiality and proprietary information policies and objectives.

Portable Communication Device Use While Driving

Employees who drive on Company business must abide by all state or local laws prohibiting or limiting PCD (cell phone or personal digital assistant) use while driving.

Regardless of the circumstances, including slow or stopped traffic, employees should proceed to a safe location off the road and safely stop the vehicle before placing or accepting a call. If acceptance of a call is absolutely necessary while the employee is driving, and permitted by law, the employee must use a hands-free option.

Under no circumstances should employees feel that they need to place themselves at risk to fulfill business needs.

This policy ensures that the Company does NOT require any employee to use a cell phone while driving. Employees who are charged with traffic violations resulting from the use of their PCDs while driving will be solely responsible for all liabilities that result from such actions.

Texting and emailing while driving is prohibited in all circumstances.

4-8. Operation of Vehicles

All Team Members authorized to drive Company-owned or leased vehicles or personal vehicles in conducting Company business must possess a current, valid driver's license and an acceptable driving record. Any change in license status or driving record must be reported to management immediately.

A valid driver's license must be in your possession while operating a vehicle off or on Company

property. It is the responsibility of every employee to drive safely and obey all traffic, vehicle safety, and parking laws or regulations. Drivers must demonstrate safe driving habits at all times.

Company-owned or leased vehicles may be used only as authorized by management.

4-9. Supplies

Personal use of office and dental supplies is not permitted. Orthodontic and dental products offered in our office can be purchased for home use from the clinic at predetermined costs.

Snacks provided in clinics for patient consumption are intended for consumption by patient's and their families. Team Members may occasionally take snacks for their own consumption while at work, but this should not be a regular occurrence and management has the right to revoke this privilege if abuse of this policy is suspected.

4-10. Employee Parties & Gifts

In the spirit of fostering a dynamic team environment the throwing of parties (such as baby showers, wedding showers, birthday celebrations, farewell parties and so forth) may be allowed in company common areas. However, announcements or invitations to such parties should not solicit gifts or contributions towards gift purchase; all participation in gift giving should be completely voluntary and not impact one's ability to attend a party held on work premises.

Team Members may never solicit any gift, discount, gratuity, free travel, entertainment or cash from a patient, other Team Members, or contractor of the company for personal use. Accepting of gifts valued above \$75.00 requires the approval of your Manager.

4-11. Bulletin Boards

Bulletin boards keep Team Members informed of practice activities, as well as legal/safety requirements of government agencies. It is the Team Member's responsibility to read all posted material.

4-12. Personal Visits and Telephone Calls

Team Members under certain circumstances, and with prior notice if possible, may make and receive personal calls or receive personal visits. Such privilege should not be abused and cannot interfere with your job performance. Incoming personal phone calls should be kept to an absolute minimum.

In case of an emergency your family may contact your direct office phone number. It is the Team Member's responsibility to communicate with the manager.

People visiting with Team Members are not permitted beyond the reception area; this is necessary for security and safety reasons.

4-13. Use of Social Media

Orthodontic Experts respect the right of any Team Member to maintain a blog, webpage, or social networking including but not limited to: Twitter, Facebook, Snapchat, Instagram, LinkedIn, Youtube etc.. The Team Member is to not post any proprietary information about the Company, its patients, Vendors, or Team Members. When the Team Member is working on the clock, Team Member may not post on social media sites or blogs.

All rules regarding confidential and proprietary business information apply in full to blogs, web pages, podcasts, video sharing platforms, and social networking sites. Any sensitive or confidential information that would not be appropriate to be disclosed through a conversation, a note, or an e-mail also cannot be disclosed in these formats.

This policy applies whether a Team Member is posting something on his or her own blog, web page, social networking, or similar site, or on someone else's. If the Team Member mentions the Company and also expresses either a political opinion or an opinion regarding the Company's actions that could pose an actual or potential conflict of interest with the Company, the post must include a disclaimer. The post should specifically state that the opinion expressed is their personal opinion and not the Company's position.

Section 5 - Classifications and Schedules

5-1. Working Hours and Schedule

The working hours vary by location and job description. Team Members will be assigned a work schedule and will be expected to begin and end work according to the schedule. Work schedules will be provided to Team Members within an appropriate amount of time according to local laws and regulations. To accommodate the needs of our business, at some point we may need to change individual work schedules on either a part-time or full-time schedule.

In order to accommodate business needs and the needs of Team Members in regards to scheduling, Team Members may be asked to travel to alternate locations to maintain regularly scheduled hours. Orthodontic Experts compensates travelling Team Members with the following hourly differential pay, in addition to their normal hourly rate, based on the distance between their designated "home" clinic and the travelled-to clinic:

DISTANCE	HOURLY BONUS
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0-14.99 miles	\$0.00
14-24.99 miles	\$2.00
25 miles or more	\$4.00

It is the responsibility of the Team Member to inform his or her manager and the clinic scheduler if there are any changes to their availability in regards to travelling. Orthodontic Experts reserves the right, at its discretion, to prioritize scheduled work hours for Team Members that have more open availability for travelling.

Exceptions to the differential pay travel policy include meetings and training, including the initial two-week training period for new hires.

5-2. Timekeeping Procedures

Employees must record their actual time worked for payroll and benefit purposes. Non-exempt employees must record the time work begins and ends, as well as the beginning and ending time of any departure from work for any non-work-related reason, including scheduled meal breaks. Should a Team Member travel to a different clinic, the Team Member is responsible for selecting the correct organizational unit on their Paylocity account. Non-exempt employees may not start work until their scheduled starting time. If the Team Member has any questions, they are to reach out to their direct manager and/or Payroll@orthodonticexperts.com

Managers are responsible to adjust incorrect or missing punches for their team and are expected to the best of their abilities, make sure that Team Member time cards are accurate, including accurate times and locations. Altering, falsifying or tampering with time records is prohibited and subjects the Team Member to discipline, up to and including termination.

Exempt employees are required to record their daily work attendance and report periods of absence from work. Paid time off must be applied in accordance with the current PTO policy to days the employee is not present to a scheduled work period.

It is your responsibility to sign your time record to certify the accuracy of all time recorded. Any errors in your time record should be reported immediately to your manager as well as Payroll@orthodonticexperts.com.

All managers are expected to review the Team Members timecards on a daily basis. Additionally, managers are expected to complete a final review of all Team Member's timecards by noon on the Monday before payroll and must email payroll@orthodonticexperts.com the Manager Payroll Summary by Monday by 11:00am.

5-3. Rest and Meal Periods

Employees will be provided meal and rest periods as required by law. Under Illinois Labor Laws, if an employee is scheduled to work 7 1/2 hours or more, the employee is entitled to, and must take one unpaid lunch break lasting at least 20 min. Each Team Member is responsible for seeing to it that they take their meal breaks, and it is the responsibility of management to ensure that time is made in the schedule for Team Members to take a meal break.

5-4. Overtime

Like most successful companies, we experience periods of extremely high activity. During these busy periods, additional work is required from all of us. Your Manager is responsible for monitoring business activity and requesting overtime work if it is necessary. Effort will be made to provide you with adequate advance notice in such situations.

Any non-exempt employee who works overtime will be compensated at the rate of one and one-half times (1.5) his/her normal hourly wage for all time worked in excess of forty (40) hours each week, unless otherwise required by law.

Team Members may work overtime only with prior authorization from the human resources department, after all other options have been exhausted.

For purposes of calculating overtime for non-exempt employees, the workweek begins at 12 a.m. on Monday and ends 168 hours later at 11:59 p.m. on the following Sunday.

5-5. Absences of Doctors

In instances where the office is closed due to personal absences of the doctors, Orthodontic Experts will utilize scheduled work hours for administrative work or alternative clinical work activities. Alternatively, Team Members have the option of utilizing paid time off to cover regularly scheduled hours of work or taking time off without pay. The Team Member must immediately communicate their choice to their direct supervisor.

5-6. Employee Classifications

For purposes of this handbook, all Team Members fall within one of the classifications below.

Full-Time Employees or Full-Time Team Members - individuals who regularly work at least 32 hours per week who were not hired on a short-term basis.

Part-Time Employees or Part-Time Team Members- individuals who regularly work fewer than 32 hours per week who were not hired on a short-term basis.

In addition to the above classifications, Team Members are categorized as either "**Exempt**" or "**Non-Exempt**" for purposes of federal and state wage and hour laws. Team Members classified as exempt do not receive overtime pay; they generally receive the same weekly salary regardless of hours worked. If the Team Member has exhausted paid time off, the Team Member will be required to make up any hours within 1 week of the absent time. It is the responsibility of the Team Member to make up any time that was missed during the work week. Team Members will be informed of their classifications upon hire and informed of any subsequent changes to classifications.

5-7. Performance Reviews

Orthodontic Experts has established an initial period during which you familiarize yourself with your work environment and co-workers, and we familiarize ourselves with you. Before the end of 30 days, your performance will be reviewed and discussed with you. Another performance review will be conducted at 60 days.

Thereafter, during April 5th through April 30th of every year, all Team Members will receive a Growth Conference. The purpose of the Growth Conference is to set a benchmark for the Team Members and the manager to discuss improvement plans or exceptional service completed.

A Performance Follow-Up will be completed during October 5th - October 30th each year where the Team Member can be, but is not entitled to, a raise from the annual salary or an hourly amount.

Performance reviews do not indicate "automatic" pay increases or "cost of living" increases. Increases in compensation are determined by: merit, skills, productivity, contribution to company growth and success, individual effort, and contribution to teamwork.

If warranted, pay raises may be granted as determined on an individual basis with the approval of the Human Resources department, Vice President, and President of the company.

All performance evaluations are to be filed in the permanent personnel record after the appraisal conference has been held, and the employee and manager have signed and dated the review.

Should an employee disagree with the review the employee can make an appeal and complete the proper documentation along with the supporting documents and this file must be submitted to Human Resources. The appeal will be reviewed by the Human Resources Department. A determination will be delivered within 30 days after all documentation has been received.

5-8. Licenses, Credentials, and Forms

Team Members and Independent Contractors hired to carry out specific tasks requiring a license must keep their licenses and credentials current and in good standing. Proof of such license or

credentials must be provided to management at the start of employment or contract and resubmitted when licenses are renewed. It is each Team Member's responsibility to keep licenses current and provide necessary documentation without delay. Orthodontic Experts will not be responsible to provide any notification or reminders to licensed individuals prior to the renewal date of such licenses or credentials.

Team Members with suspended, outdated or incomplete licenses will be relieved from some or all of their job duties and may be temporarily suspended until such licenses and credentials required to fulfill individual job responsibilities is obtained. Should a Team Member fail to provide necessary licenses within a reasonable and specified amount of time, such individuals will be terminated with cause.

Section 6 - Compensation and Benefits

6-1. Your Paycheck

You will be paid bi-weekly on Fridays, for all the time you have worked during the past pay period.

It is the responsibility of the Team Member to keep up-to-date direct deposit information in their Paylocity portal. If a change needs to be made, the Team Member must upload any new account information by 11:00am on the Monday prior to the pay day.

Your payroll stub itemizes deductions made from your gross earnings. By law, the Company is required to make deductions for Social Security, federal income tax and any other appropriate taxes. These required deductions also may include any court-ordered garnishments. Your payroll stub will also differentiate between regular pay received and overtime pay received.

If you believe there is an error in your pay, bring the matter to the attention of the Human Resources department immediately so Orthodontic Experts can resolve the matter quickly and amicably.

6-2. Direct Deposit

Orthodontic Experts strongly encourages Team Members to use direct deposit. Authorization forms are available from the Human Resources Department.

6-3. Bonuses

Bonuses vary depending on the position and all bonuses will be subject to the deductions required by law.

Active, full-time, regular Team Members who have satisfactorily completed the 90 day introductory period are eligible to receive a bonus. Active, part-time Team Members who have satisfactorily completed the 90 day introductory period are eligible to receive half of the calculated bonus. Employees who terminate their employment before the end of the bonus period are not eligible for any portion of the bonus; an employee must be an Active Team Member at time of bonus pay out. Team Members who are on a PIP or violating business policy are not eligible for any portion of the bonus.

Team Members who do not work because he/she was out of work on an approved leave of absence for the Quarter will be paid on a pro rata basis by calculating the bonus based on the actual amount of time worked during that time frame. If the Team Member is paid for part of the leave through a PTO or other eligible accrued form of income, (not including STD or worker compensation payments) this income will be included in the bonus calculation. Clinic Managers are responsible for only including eligible team members on the Payroll Summary for bonus.

6-4. Payroll Deductions

Several payroll deductions, which are required by law, are made before you receive your check. Deductions required by law include:

Federal Income Tax (FIT): Your deduction for this tax will vary with the number of exemptions and the marital status you claim for this purpose on your W-4 form.

State Income Tax (SIT): This tax, required by the State of Illinois, will vary with the number of exemptions and marital status you claim for this purpose on your W-4 form.

Social Security and Medicare Tax (FICA): This is the “social security” tax required by the Federal Government.

If Team Members participate in Health Care Insurance, the Team Member’s portion of the Health Care Insurance premium will be automatically deducted from every paycheck.

Should the Team Member receive an overpayment, Payroll@orthodonticexperts.com will reach out to that Team Member regarding a repayment plan. The Human Resources department will allow a 7 day period to allow the Team Member to review finances to come up with a payment plan. All repayment options must be approved by the Human Resources department. If a Team Member is terminated or terminates the employment before the repayment plan is complete, Orthodontic Experts reserves the right to deduct the remaining balance from the Team Member’s final check. If the remaining balance exceeds the total amount paid in the final check, the Team Member is required to repay the total amount within 30 days of termination.

Any deductions made to a Team Member’s pay will be documented and approved by both the Team Member and the Human Resources Department.

Wage Garnishments are part of an employee's wage for debts owed to others because of garnishment proceedings. Should a garnishment take place it will be the responsibility of Payroll@orthodonticexperts.com to notify the employee. The employee will need to review the garnishment with the appropriate party requesting the funds to review options. It is NOT the responsibility of the Human Resources Department to investigate or review any repayment options for the debt owed.

6-5. Advances

It is our policy that we do **NOT** advance any money for payroll wages or other pay under any circumstances.

6-6. Safe Harbor Policy for Exempt Employees

It is our policy and practice to accurately compensate employees and to do so in compliance with all applicable state and federal laws. To ensure that you are paid properly and that no improper deductions are made, you must review your pay stubs promptly to identify and report all errors.

If you are classified as an exempt salaried employee, you will receive a salary which is intended to compensate you for all hours you may work for the Company. This salary will be established at the time of hire or when you become classified as an exempt employee. While it may be subject to review and modification from time to time, such as during salary review times, the salary will be a predetermined amount that will not be subject to deductions for variations in the quantity or quality of the work you perform.

Under federal and state law, your salary is subject to certain deductions. For example, unless state law requires otherwise, your salary can be reduced for the following reasons:

- Full-day or half-day absences for personal reasons.
- Full-day or half-day absences for sickness or disability.
- Full-day or half-day disciplinary suspensions for infractions of our written policies and procedures.
- Family and Medical Leave absences (either full- or half-day absences).
- The first or last week of employment in the event you work less than a full week.
- Any full work week in which you do not perform any work.

Your salary may also be reduced for certain types of deductions such as your portion of health, dental or life insurance premiums; state, federal or local taxes; social security; or voluntary contributions to a 401(k) or pension plan.

In any work week in which you performed any work, your salary will not be reduced for any of the following reasons:

- Partial day absences less than three (3) hours for personal reasons, such as sickness.
- Your absence on a day because your employer has decided to close a facility on a scheduled work day.
- Any other deductions prohibited by state or federal law.

If you believe you have been subject to any improper deductions, you should immediately report the matter to your manager. If your manager is unavailable or would like to speak with the Human Resources Department you may reach out to Payroll@orthodonticexperts.com. If your issue is not resolved in five (5) business days you should immediately contact Jobs@orthodonticexperts.com.

6-7. Benefits Overview

In addition to good working conditions and competitive pay, it is Orthodontic Experts' policy to provide a combination of supplemental benefits to all eligible employees. In keeping with this goal, each benefit program has been carefully devised and is updated every open enrollment period as employee needs change. These benefits include paid time-off benefits, paid holidays, insurance, 401k, and free/reduced orthodontic treatment.

The next few pages contain a brief outline of the benefits programs Orthodontic Experts provides for you and your family. Of course, the information presented here is intended to serve only as guidelines. Any questions about benefits or details and descriptions of any plans can be requested by contacting jobs@orthodonticexperts.com.

The descriptions of the insurance and other plan benefits merely highlight certain aspects of the applicable plans for your general information only. The details of those plans are spelled out in the official plan documents, which are available for review on our online portals, including Employee Navigator. Additionally, the provisions of the plans, including eligibility and benefits provisions, are summarized in the summary plan descriptions ("SPDs") for the plans, which are subject to change.

While the Company intends to maintain these employee benefits, it reserves the right to modify, amend or terminate these benefits at any time and for any reason.

If you have any questions regarding your benefits, please contact the Human Resources Department.

6-8. Holidays

	Salary	Full Time	Part-time
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Paid holidays	6 Paid Holidays (New Years Day, Memorial Day, July 4th, Labor Day, Thanksgiving, Christmas)	5 paid holidays (New Years Day, July 4th, Labor Day, Thanksgiving, Christmas)	2 paid holidays (Thanksgiving and Christmas)
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After ninety (90) days in a Non Exempt position, the Team Member will be eligible for holiday pay. If a team member fails to report to a scheduled shift the day prior or the day following a holiday, that team member will forfeit the holiday pay, unless PTO is utilized to cover the absence(s). Exempt employees will be eligible immediately.

Should a Paid Holiday land on a Saturday or Sunday, Human Resources, along with the Vice President, will select the date for the floating holiday. Offices will be notified at the beginning of the year.

Clinical staff: If a clinical day is closed the day before or the day after a holiday i.e., Christmas Eve, New Years Eve, Black Friday, dates circa 4th of July, or any other national holiday, the staff will have several time off options. Exempt team members can use PTO, take an unpaid day off, or work a 6 hour shift. Non Exempt team members have the option of using PTO or take an unpaid day off.

Support center office will remain open on the following dates: Christmas Eve, New Years Eve, Black Friday, dates circa 4th of July, or any other national holiday. Team members are allowed to use the following options once approved by the direct manager. Exempt team members can use PTO, take an unpaid day off, or work a 6 hour shift. Non Exempt team members have the option of using PTO or take an unpaid day off.

Orthodontic Experts recognizes that there are holidays other than those stated above which employees may wish to observe. It is the responsibility of the employee to schedule the dates with the Human Resources department and utilize Paid Time Off for the requested time off. Requests should be made in advance and in writing and submitted to Palocity. Submissions are simply a request to the Human Resources department for review.

There is no federal law that requires an employer to give the employees the requested time off for religious holidays; however under Title VII of the Civil Rights Act of 1964, employers may not treat employees differently because of their religious affiliation, and employees cannot be required to participate or not participate in religious activity as a condition of employment. Orthodontic Experts has a duty to provide reasonable accommodation to employees for religious observations in which the employee will be allowed to utilize paid time off as long as the employee has submitted the request 30 days before, and the department has sufficient coverage.

6-9. Paid Time Off Policy

	Salary	Hourly	Part-time
0-3 years of service	3 weeks (120 hours) Accrual Rate per hour worked 0.061	2 weeks (80 hours) Accrual Rate per hour worked 0.040	N/A
4-7 years of service	4 weeks (160 hrs) Accrual Rate per hour worked 0.083	3 weeks (120 hours) Accrual Rate per hour worked 0.061	N/A
8+ years of service	5 weeks (180 hrs) Accrual Rate per hour worked 0.094	4 weeks (160 hrs) Accrual Rate per hour worked 0.083	N/A

- Paid Time Off (PTO) includes Vacation Pay, Personal Time, Bereavement, and Sick Pay.
- PTO hours are available for use after 90 days of employment.
- PTO (in hours) will accrue based on hours worked according to the above chart.
- Maximum of 80 hours of PTO can be rolled over to the next year.
- An employee can accrue a maximum of 180 PTO hours. Should the employee reach the maximum amount of hours that employee will not accrue additional hours.
- If employment is terminated by an employee or employer for cause or no cause, all accrued PTO hours will be paid out to the employee.
- Orthodontic Experts reserves the right to deny any PTO request, should the request place the practice in hardship.
- PTO requests should be made at least 2 weeks in advance if the request is less than 2 consecutive days. If the Team Member would like to utilize more than 3 consecutive days at least 1 month notice must be provided. All requests must be made through the Paylocity system.
- PTO must be used in 4 hour or 8 hour increments.
- If requesting 4 hours of PTO an employee may be scheduled to work a 4 hour shift.
- Part time Team Members that are changed to full time status will begin accruing PTO hours immediately, if they have been employed 90 days or more.
- Full time Team Members that transition to part time will no longer accrue PTO hours, but will be eligible to use any accrued PTO hours.
- Part time employees will not receive any PTO.
- In order for a Team Member to accrue PTO, the Team Member is required to work full time hours.

Scheduling Paid Time Off

All paid time off requests are to be submitted through the Team Member's Paylocity account. If more than two (2) consecutive days of time off is desired at any one time, a minimum of 30 days notice is to be provided. For time off less than two (2) consecutive days, a minimum of two (2) weeks notice is to be provided. No requests will be considered without a time off request in Paylocity.

If your time off plans conflict with another employee, the deciding factor will be the order in which requests were received. If the requests were put in at exactly the same time, the deciding factor will be seniority.

6-10. Illinois: Sick Time Policy

If an employee is requesting sick leave, the employee must call in and notify his or her Manager as early as possible, but at least four (4) hours by the start of the workday. If an employee requests sick leave, the employee may be required to provide his or her Manager with a doctor's note on the day the employee returns to work.

If the Team Member has more than two consecutive days off due to illness or applicable medical condition, it is highly recommended that they submit an FMLA request to FMLASource.

The company has included sick days into the paid time off policy.

6-11. Illinois: Pregnancy and Lactation Accommodations

In compliance with state and federal law, Orthodontic Experts will not discriminate against a Team Member because of pregnancy. Orthodontic Experts will endeavor to provide reasonable accommodations for the safety and well-being of our Team Members and unborn children, unless doing so would impose an undue hardship on the ordinary operation of the Company business.

Such accommodations include modifications or adjustments to the work environment or circumstances under which the employee's position is customarily performed. These can include but are not limited to more frequent or longer rest breaks, lactation accommodations, seating accommodations, acquisition or modification of equipment, assistance with manual labor, light duty, temporary transfer to a less strenuous or non-hazardous position, job restructuring, part-time or modified work schedule, or providing leave.

Team Members who are nursing will be provided with reasonable break time for lactation breaks after the birth of a child. Orthodontic Experts will make reasonable efforts to provide a private location. Team Members will not be retaliated against for exercising their rights under this

policy.

A Team Member will not be required to accept an accommodation that they did not request or to which they did not agree, nor will a Team Member be forced to take leave if another reasonable accommodation is available.

The employee may be required to provide certification from the employee's health care provider concerning their need for a reasonable accommodation to the same extent such a certification is required for other conditions related to a disability. A certification should include:

- medical justification for the requested accommodation(s).
- a description of the reasonable accommodation(s) medically advisable.
- the date the accommodation(s) became advisable.
- the probable duration of the reasonable accommodation(s).

The Company will not deny employment opportunities or take adverse employment action against Team Members if such decision is based on the employer's need to make a reasonable accommodation, and the Company will not retaliate against a Team Member who requests an accommodation or otherwise exercises their rights under the Illinois Human Rights Act.

The Illinois Human Rights Act is enforced by the Illinois Department of Human Rights (“IDHR”). The charge process for violations of the law can be initiated by contacting the IDHR at any of the offices shown below or by completing the form at <http://www.illinois.gov/dhr>.

Chicago Office	Springfield Office	Marion Office
100 W. Randolph St.	222 South College	2309 West Main St.
10th Floor	Room 101-A	Suite 112
Intake Unit	Intake Unit	Intake Unit
Chicago, IL 60601	Springfield, IL 62704	Marion, IL 62959
(312) 814-6200	(217) 785-5100	(618) 993-7463

Employees with questions or concerns regarding this policy or who would like to request an accommodation should contact the Human Resource Department.

6-12. Group Health Plan

Group Health Insurance is available to Full Time employees and their family members. There is a 60 day grace period to sign on with a health care plan. Coverage will be effective the first of the month following the 60 day grace period. If Team Members decline coverage during their

initial enrollment period, they will have to wait until the next enrollment period.

Fifty percent (50%) of employee's health insurance premiums are paid by Orthodontic Experts. The remaining 50% of the employee's premium and full cost of dependent/family member premiums are paid by the employee through a pre-tax payroll deduction. After 1 year of employment, the employee is eligible for the employer to pay 70% of the selected health insurance plan for employee-only coverage, beginning on the 1st of the following month. Note that this discount in rate does not constitute the ability to make plan selection changes. Plan changes are not permitted during the plan year unless a Qualifying Life Event occurs, which must be recognized by the current insurance carrier.

Orthodontic Experts offers vision insurance at 100% of cost and dental insurance at a discounted cost. Team Members are also eligible to enroll in short term disability and/or additional life insurance at a discounted group rate. \$15,000 in life insurance is provided to all Team Members, paid 100% by Orthodontic Experts.

Current insurance plan summaries and rates are available on Employee Navigator. Reach out to Human Resources if you need access to your Employee Navigator profile.

6-13. Continuation of Coverage (COBRA)

According to the Consolidated Omnibus Budget Reconciliation Act (COBRA), you may choose to continue your group health benefits for a limited period after leaving our company. This can happen after you experience a qualifying event, i.e. termination for reasons other than gross misconduct and reduction in your hours of employment. Covered spouses and children may also be able to extend their health coverage after certain qualifying events. Please ask Human Resources for guidance.

Monthly premiums may be required to be paid directly to the Human Resources department, plus applicable administration fees.

6-14. Retirement Savings Plan 401(k)

Orthodontic Experts offers a 401(k) savings plan. The plan will provide you with a unique opportunity to shelter part of your income from current taxes and accumulate savings in a convenient and effective way through payroll deduction.

All employees who work a minimum of 1,000 hours per year will be eligible to participate, provided the employee attained age 21 and has completed at least one (1) year of service. Upon meeting these requirements, an employee may become a participant on the first day of the designated enrollment periods (January 1st or July 1st) coinciding with, or following the date the employee met the requirements. Please contact Human Resources for details about the plan.

6-15. Orthodontic Care

Orthodontic treatment is available to all Team Members after the first year of employment if it is indicated by one of our orthodontists. Team Members may receive orthodontic treatment with metal braces at no cost. If the Team Member chooses the Iconix or Ceramic braces options, they must pay the additional fee for alternative brackets. Additionally, the Team Member is responsible for any and all lab fees for Invisalign or any lab made appliances. Upon termination, Team Members must pay any outstanding additional fees for Iconix brackets, Ceramic brackets, Invisalign lab fees, or appliance lab fees. Orthodontic Experts reserves the right to deduct any owed fees from the final paycheck issued to terminated Team Members.

If employment is terminated during the course of such treatment, the Team Member will either be responsible for any subsequent costs to complete treatment as outlined in the original treatment plan developed during consultation, **or** may elect to have their braces removed at no cost within thirty (30) days of employment termination. Management reserves the right to schedule the terminated Team Member for braces removal at a clinic other than their “home” clinic as long as it does not provide an undue hardship on the terminated Team Member.

Team Members are eligible to receive braces before 12 months of employment but must pay applicable treatment costs until 12 months has been reached.

Immediate family members are also eligible for free or discounted treatment, if it is indicated by one of our orthodontists. Team Members can only have one family member in free or discounted treatment at a time, and can only utilize this benefit for family members if they are not currently in free or discounted treatment themselves. Eligible persons are limited to immediate family only, including: spouse and children or stepchildren (up to 26 years of age). Parents of Team Members are not eligible to receive this benefit. Team Members that are unmarried can utilize free or discounted treatment for siblings up to 26 years of age. Siblings, children, or step children over 26 years old are not eligible to receive this benefit.

Friends and ineligible family members referred to the office by employees are eligible for treatment at a discounted rate of 15%. This discount cannot be combined with any other discounts, such as other office discounts or insurance, including Groupon. This discount is offered for cash paying friends and family only. If Care Credit is being used with the Friends and Family discount, the transaction fee percentage will be deducted from the 15% discount. Team Members do not receive a referral bonus for patients receiving the Friends and Family discount. Team Members must be out of their ninety (90) day probationary period before using the Friends and Family discount.

All orthodontic procedures for Team Members must be done during non-working hours.

If the Team Member participates in the free or discounted orthodontic care benefit, the Team Member must complete all documentation before receiving treatment, and a payment plan must

be set up in Open Dental. Team Members have the opportunity to utilize a separate payment plan for additional fees, including speciality brackets fees, Invisalign, and appliance fees. Payment plans cannot exceed six (6) months, and the minimum allowed payment is \$50.00 per paycheck. For Invisalign, a minimum of \$500.00 down payment must be made.

6-16. Continuing Education

Starting from the second calendar year of employment, each employee will have an annual \$500 continuing education credit to be used towards job-related courses. The credit may be applied towards course fees/tuition, travel, lodging and meals associated with the course/convention. Any unused credit may be transferred to the next calendar year, up to a maximum of \$3,000 banked.

All requests for continuing education reimbursement must be submitted with course description to the Human Resources department and must receive approval from the Vice President. In order to qualify, the employee must be in good standing and not have any written warnings or formal coaching documentation in the last 90 days of employment.

6-17. Employee Referral Awards

Orthodontic Experts encourages all Team Members to refer qualified job applicants for available job openings. When making referrals, instruct the applicant to list your name on their employment application as the referral source. If your name is not listed on the employment application, you will not receive the referral bonus. If your referral is hired and completes six months of service and you are still an employee of the Company, you are eligible to receive a monetary award. The reward is currently a gross amount of \$250.00.

Section 7 - Leaves of Absence

Employees that take any type of leave may elect to continue benefits at their own expense during the leave. If paid time off is substituted for unpaid leave, the Company will deduct the employee's portion of any applicable health plan premium as a regular payroll deduction while the employee is still receiving regular paychecks. Team Members are not under any obligation to continue elected benefits during a leave of absence. Team Members will receive information regarding premiums due if they elect to continue benefits once they are no longer receiving regular paychecks, and how they may submit payments for monthly premiums.

Employees that take leave will be reinstated to the position they held before commencing leave, or to a position with equivalent seniority, status, employee benefits, pay and other terms and conditions of employment.

Prior to receiving such leave, the company requires the employee to substitute any and all paid time off, except in the case of someone going on medical leave and receiving Short Term Disability payments. If Short Term Disability benefits are utilized, one (1) week of PTO must be

used, and starting week two (2) of the leave, disability benefits will come into effect.

Orthodontic Experts reserves the right, except in cases of FMLA and USERRA, to request periodic reports during a leave of absence regarding the employee's status and any change in the employee's plans on returning to work.

7-1. Illinois: Jury Duty Leave

Orthodontic Experts realizes that it is the obligation of all U.S. citizens to serve on a jury when summoned to do so. All employees will be allowed time off to perform such civic service as required by law. Employees are expected, however, to provide proper notice of any request to perform jury duty as noted below and provide verification of their service, including fees received for jury duty service.

Employees also are expected to keep management informed of the expected length of jury duty service and to report to work for the major portion of the day if excused by the court. The Company will not compensate employees for time taken off for jury duty without the use of PTO. Employees summoned for jury duty must deliver a copy of the summons to the Company within 10 days of the date of issuance of the summons to the employee.

7-2. Illinois: Witness Leave

A Team Member called to serve as a witness in a judicial proceeding must notify his/her Manager as soon as possible. Team Members will not be compensated for time away from work to participate in a court case, but may use available PTO to cover the period of absence. Team Members attending judicial proceedings in response to a subpoena will not be disciplined for their absence.

7-3. Illinois: Voting Leave

Employees who are eligible to vote in an election may request up to two hours with pay to vote while polls are open. Employees must notify the Company of their intention to vote at least one week prior to Election Day.

7-4. Illinois: Child Bereavement Leave

All employees are eligible for leave up to thirty (30) days of unpaid leave for any or all of the following purposes:

1. to attend the funeral or alternative to a funeral,
2. to make arrangements necessitated by the death of the employee's child, or
3. to grieve the death of the employee's child.

For purposes of this policy, “child” means an employee's son or daughter who is a biological, adopted, foster child, stepchild, legal ward or child of a person standing in loco parentis. Employees may elect to use available paid time off while taking leave under this policy.

It is highly recommended that Team Members put in a request for FMLA leave for any child bereavement leave requests.

7-5. Military Leave

If you are called into active military service or you enlist in the uniformed services, you will be eligible to receive an unpaid military leave of absence. To be eligible for military leave, you must provide management with advance notice of your service obligations unless you are prevented from providing such notice by military necessity or it is otherwise impossible or unreasonable for you to provide such notice. Provided your absence does not exceed applicable statutory limitations, you will retain reemployment rights and accrue seniority and benefits in accordance with applicable federal and state laws. Under the Uniform Services Employment and Reemployment Rights Act (USERRA), Team Members are entitled to reemployment as long as they receive an honorable termination; if a dishonorable termination is received, reemployment is not guaranteed. Orthodontic Experts reserves the right to ask for proof of termination circumstances.

7-6. Illinois: Voluntary Emergency Workers Leave

The Company will not terminate employees who serve as volunteer emergency workers and are absent from or late to work due to their participation in an emergency situation. Volunteer emergency workers include volunteer firefighters, emergency medical technicians, ambulance drivers or attendants, first responders, members of county municipal emergency services and disaster agencies, and auxiliary policemen or deputies. Employees must make a reasonable effort to notify the Company that they may be absent from or late to work.

7-7. Illinois: Family Military Leave Act

The Company will grant eligible employees up to 15 working days of unpaid family military leave if their spouse or child is called to military service with the State or the United States for more than 30 days. Family military leave must be taken during the time federal or State deployment orders are in effect.

To be eligible, an employee must have been employed for at least 12 (twelve) months and have worked at least 1,250 (one thousand-two hundred and fifty) hours during the 12-month period immediately preceding the request for family military leave.

The request for leave must be made at least 14 (fourteen) days in advance if the leave will consist of five or more consecutive work days. If the leave will consist of less than five days, the request

must be made with as much advance notice as is practicable.

Employees must provide certification from the proper military authority to verify their eligibility for the family military leave requested. The company reserves the right to request a copy to confirm that the request is valid.

7-8. Illinois: Leave for Victims of Domestic or Sexual Violence

In accordance with the Illinois Victim's; Economic Security and Safety Act, employees who are the victims of domestic or sexual violence, or who have family or household members who are the victims of domestic or sexual violence, may be eligible for up to 12 weeks of unpaid leave within any 12-month period.

This substitution does not extend the 12-week period. Leave for Victims of Domestic or Sexual Violence runs concurrently with Family and Medical Leave and, therefore, does not extend any unpaid time available to the employee under Family and Medical Leave.

Eligible employees may take Leave for Victims of Domestic or Sexual Violence so that they or a member of their family or household may take part in one or more of the following actions:

- Seek medical attention for or recover from physical or psychological injuries caused by domestic or sexual violence;
- Obtain services from a victim's services organization;
- Obtain psychological or other counseling;
- Participate in safety planning, including temporary or permanent relocation, or other actions to increase their physical safety or economic security; or
- Seek legal assistance or remedies to ensure their health and safety.

Notice of Need for Leave

Eligible employees must provide the Company with at least 48 hours advance notice of the need for leave, unless such notice is not practicable.

Certification of the Need for Leave

To request domestic leave, an employee must supply the company with a sworn statement from the employee that the employee or a family or household member is a victim of domestic or sexual violence and that leave is necessary for one of the reasons described above.

The employee seeking leave must also provide supporting documentation from one of the following sources:

- A victim's services organization

- A member of the clergy or any other religious organization
- A medical professional from which the employee or family or household member has sought assistance
- A police report or court record
- Any other corroborating evidence

Intermittent and Reduced Schedule Leave

Up to forty (40) hours of unpaid leave may be taken intermittently (in separate blocks of time) if all PTO has been exhausted, and Human Resources along with the direct manager has provided the approval.

7-9. Illinois: School Visitation Leave

Parents and guardians having custody of schoolchildren from kindergarten through Grade 12 are provided up to sixteen (16) hours per year of unpaid time off to attend school conferences or classroom activities related to the child if the conference or classroom activities cannot be scheduled during non work hours. Orthodontic Experts may require proof that the employee attended school conferences or classroom activities related to the child. Any Exempt employees will be required to make up the hours before the payroll week has ended. Employees must consult with the Company to schedule their leave so as not to unduly disrupt operations.

7-10. Federal: Family and Medical Leave Act Policy

Employees may be entitled to a leave of absence under the Family and Medical Leave Act (FMLA). The FMLA entitles employees to certain written notices concerning their potential eligibility for and designation of FMLA leave. If employees have any questions concerning FMLA leave, they should contact the Human Resources department.

Eligibility

FMLA leave is available to "eligible employees." To be an "eligible employee," an employee must: 1) have been employed for at least 12 months (which need not be consecutive); 2) have been employed for at least 1,250 hours of service during the 12-month period immediately preceding the commencement of the leave; and 3) be employed at a worksite where 50 or more employees are located within 75 miles of the worksite.

A. Basic FMLA Leave Entitlement:

The FMLA provides eligible employees up to 12 workweeks of unpaid leave for certain family and medical reasons during a 12-month period. The 12-month period is determined based on a "rolling" 12-month period measured backwards from when an employee first uses FMLA leave.

Leave may be taken for any one, or a combination, of the following reasons:

- To care for the employee's child after birth or placement for adoption or foster care;
- To care for the employee's spouse, son, daughter or parent (but not in-law) who has a **serious health condition**;
- For the employee's own serious health condition (including any period of incapacity due to pregnancy, prenatal medical care or childbirth) that makes the employee unable to perform one or more of the essential functions of the employee's job; and/or
- Because of any **qualifying exigency** arising out of the fact that an employee's spouse, son, daughter or parent is a covered military member on covered active duty or called to covered active duty status (or has been notified of an impending call or order to covered active duty) in the Reserves component of the Armed Forces in support of contingency operations or Regular Armed Forces for deployment to a foreign country. This leave is also available for family members of active duty service members.

A **serious health condition** is an illness, injury, impairment or physical or mental condition that FMLA protects employment in the case of serious health condition, which will be subject to review by a third party affiliate.

Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, caring for the parents of the military member on covered active duty and attending post-deployment reintegration briefings.

Fraud and dishonesty in the use of FMLA leave may be grounds for termination of employment. Orthodontic Experts reserves the right to investigate and take action to deter future FMLA misconduct.

B. Intermittent Leave and Reduced Leave Schedules

FMLA leave usually will be taken for a period of consecutive days, weeks or months. However, employees also are entitled to take FMLA leave intermittently or on a reduced leave schedule when medically necessary due to a serious health condition of the employee or covered family member or the serious injury or illness of a covered service member.

C. No Work While on Leave

The taking of another job while on family/medical leave or any other authorized leave of absence is grounds for immediate termination.

D. Notice of Eligibility for, and Designation of, FMLA Leave

Employees requesting FMLA leave will receive a written notice from the Company telling them whether they are eligible for FMLA leave and, if not eligible, the reasons why they are not

eligible.

The Company may retroactively designate leave as FMLA leave with appropriate written notice to employees provided the Company's failure to designate leave as FMLA-qualifying at an earlier date did not cause harm or injury to the employee. In all cases where leaves qualify for FMLA protection, the Company and employee can mutually agree that leave be retroactively designated as FMLA leave.

III. Employee FMLA Leave Obligations

A. Substitute Paid Leave for Unpaid FMLA Leave

Upon written request, the Company will allow employees to use paid time off to supplement any paid disability benefits. the employee cannot receive Short Term Disability and PTO at the same time. The employee can only utilize one of the paid leave options.

B. Pay Employee's Share of Health Insurance Premiums

During FMLA leave, employees are entitled to continued group health plan coverage (if applicable) under the same conditions as if they had continued to work. Unless the Company notifies employees of other arrangements, whenever employees are receiving pay from the Company during FMLA leave, the Company will deduct the employee portion of the group health plan premium from the employee's paycheck in the same manner as if the employee was actively working.

If FMLA leave is unpaid, employees must pay their portion of the group health premium through a pre-pay method. Employees should contact jobs@orthodonticexperts.com to make these arrangements.

The Company's obligation to maintain health care coverage ceases if an employee's premium payment is more than 30 days late. If an employee's payment is more than 15 days late, the Company will send a letter notifying the employee that coverage will be dropped on a specified date unless the co-payment is received before that date. If employees do not return to work within 30 calendar days at the end of the leave period (unless employees cannot return to work because of a serious health condition or other circumstances beyond their control), they will be required to reimburse the Company for the cost of the premiums the Company paid for maintaining coverage during their unpaid FMLA leave.

IV. Questions and/or Complaints about FMLA Leave

If you have questions regarding this FMLA policy, please contact the Human Resources department. The Company is committed to complying with the FMLA and, whenever necessary, shall interpret and apply this policy in a manner consistent with the FMLA.

Section 8 - If You Must Leave Us

Should you decide to leave the Company, we ask that you provide your Manager with at least two (2) weeks advance notice of your departure.

All Company property including, but not limited to, keys, security cards, parking passes, vehicles, cellular devices, laptop computers, uniforms, etc. must be returned at separation. Employees also must return all of the Company's Confidential Information upon separation. To the extent permitted by law, employees will be required to repay the Company (through payroll deduction, if lawful) for any lost or damaged Company property.

8-1. Unemployment Compensation

All employees are covered by the unemployment provision of the state Unemployment Insurance Code. The practice pays the entire cost of unemployment insurance benefits. If your employment is terminated without cause, you may be eligible to receive unemployment insurance. In most cases, you must file a claim to receive this benefit. The office recognizes the value of the proper use of such a program and will cooperate with individuals in the processing of claims.

If, in the judgment of management, an improper claim is filed, all necessary steps will be taken to oppose payment of benefits not equitably due to an individual.

8-2. Exit Interview

Employees who resign are requested to participate in an exit interview with the Human Resources department.

8-3. Continuation of Benefits

Benefits including health insurance, life insurance, and 401k may include the option to continue coverage or rollover into an individual plan. Upon termination, if Team Members are enrolled in Orthodontic Experts benefits, it is recommended that they reach out to the Human Resources department for information on continuation of benefits.

Covered employees and their dependents who lose insurance coverage for any of the following reasons are eligible to continue medical and dental insurance through COBRA: termination, reduction in hours, divorce or legal separation, death of the employee, eligibility for Medicare, or loss of dependent child status under the plan. All administrative rules and processes, such as open enrollment periods, as well as changes in plan benefits and premiums, apply to those on continuation coverage.

8-4. A Few Closing Words

This handbook is intended to give you a broad summary of things you should know about Orthodontic Experts. The information in this handbook is general in nature and should questions arise, any member of management should be consulted for complete details. While we intend to continue the policies, rules and benefits described in this handbook, Orthodontic Experts, in its sole discretion, may always amend, add to, delete from or modify the provisions of this handbook and/or change its interpretation of any provision set forth in this handbook. Any changes, amendments, additions, or deletions will only be valid once updated documents are made available for employee access. Please do not hesitate to speak to management if you have any questions about the Company or its personnel policies and practices.

General Handbook Acknowledgment

This Employee Handbook is an important document intended to help you become acquainted with Orthodontic Experts. This document is intended to provide guidelines and general descriptions only; it is not the final word in all cases. Individual circumstances may call for individual attention.

Because the Company's operations may change, the contents of this Handbook may be changed at any time, with or without notice, in an individual case or generally, at the sole discretion of management. Any changes, amendments, additions, or deletions will only be valid once updated documents are made available for employee access.

Please read the following statements and sign below to indicate your receipt and acknowledgment of this Employee Handbook.

I have received and read a copy of Orthodontic Experts' Employee Handbook. I understand that the policies, rules and benefits described in it are subject to change at the sole discretion of the Company at any time.

I further understand that my employment is terminable at will, either by myself or the Company, with or without cause or notice, regardless of the length of my employment or the granting of benefits of any kind.

I understand that no contract of employment other than "at will" has been expressed or implied, and that no circumstances arising out of my employment will alter my "at will" status except in an individual case or generally in writing signed by the President of the Company.

I understand that my signature below indicates that I have read and understand the above statements and that I have received a copy of the Company's Employee Handbook.

Employee's Printed Name: _____ Position: _____

Employee's Signature: _____ Date: _____

The signed original copy of this acknowledgment should be given to management - it will be filed in your personnel file.