



Main Management Code of Conduct

Event: Main Management Due Diligence — San Francisco, November 12, 2026

Date(s): November 12, 2026

Location: Main Management HQ — 601 California Street, Suite 300, San Francisco, CA 94108

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1. Purpose

Main Management (“**Company**,” “**we**,” “**us**”) is committed to providing a professional, safe, respectful, and productive environment for all participants and employees at Main Management Due Diligence — San Francisco, November 12, 2026 (the “**Event**”). This Code of Conduct sets expectations for professional behavior.

2. Scope and Applicability

This Code of Conduct applies to all Event participants, including but not limited to:

- Financial advisors and other attendees (“**Attendees**”)
- Speakers, panelists, sponsors, vendors, and exhibitors
- Company employees, officers, and representatives, including the Company’s senior leadership (“**Management Team**”)
- Venue staff and contracted service providers

This Code of Conduct applies to all Event-related settings, including sessions, meals, receptions, transportation arranged by the Company, the venue, virtual platforms (if any), and Event-related social activities.

3. Guiding Principles

All Attendees and Company employees are expected to:

- Conduct themselves with **professionalism, integrity, and courtesy**
- Treat others with **respect and dignity**
- Foster an environment free from harassment, intimidation, and discrimination
- Comply with **all applicable laws, regulations, and venue policies**
- Follow reasonable instructions from the Company, venue security, and Event staff

4. Professional Conduct Expectations

4.1 Respectful Interaction with Other Advisors and the Management Team

Attendees and Company employees must engage respectfully with:

- Other advisors and industry participants
- The Company’s Management Team and employees
- Speakers, moderators, and staff

This includes:

- Maintaining professional language and demeanor

- Refraining from confrontational, aggressive, or demeaning behavior
- Complying with session moderation and timekeeping

4.2 Appropriate Business Discussions

The Event is intended for professional education and networking. Attendees and Company employees should:

- Avoid disruptive sales tactics, aggressive solicitation, or coercive behavior
- Respect requests to end or decline conversations
- Refrain from misrepresenting affiliations, credentials, or the Company's views

4.3 Compliance with Laws and Regulations

Attendees and Company employees are responsible for complying with all applicable laws and regulations, including those relevant to financial services conduct (e.g., professional licensing standards, marketing rules, privacy requirements, and applicable securities laws).

5. Prohibited Conduct

The following conduct is prohibited at the Event and may result in immediate action (including removal):

5.1 Harassment, Discrimination, and Bullying

Harassment, discrimination, or bullying of any kind is not tolerated. This includes conduct based on actual or perceived:

- Race, color, ethnicity, national origin
- Religion
- Sex, sexual orientation, gender identity or expression
- Age
- Disability
- Veteran status
- Any other protected characteristic under applicable law

Harassment includes unwelcome conduct such as slurs, stereotypes, intimidation, unwanted physical contact, sexual attention, stalking, threats, or persistent disruption of sessions.

5.2 Violence, Threats, and Weapons

- Threats of violence, physical intimidation, or assault are strictly prohibited.
- Possession of weapons is prohibited to the fullest extent permitted by venue rules and applicable law. Where local law creates exceptions, Attendees must still comply with venue policies and any Company restrictions for Event spaces.

6. Confidentiality, Privacy, and Information Handling

6.1 Confidential and Proprietary Information

The Event may include discussions of the Company's strategies, viewpoints, product information, or other materials that may be confidential or proprietary. Attendees and Company employees must:

- Respect confidentiality designations (e.g., "Confidential," "Internal Use Only," "Not for Distribution")
- Not record or distribute restricted content without authorization

- Not share non-public Company materials outside the Event

6.2 Data Privacy

Attendees must comply with applicable privacy laws and professional obligations when collecting, sharing, or using personal data obtained at the Event (including contact details or badge information).

7. Social Media and Public Statements

Attendees and Company employees are welcome to share general impressions of the Event, provided they:

- Do not disclose confidential or restricted content
- Do not attribute statements to the Company or its personnel unless explicitly authorized
- Do not use the Company's branding in a way that implies endorsement of products, services, or viewpoints

The Company may designate specific sessions or materials as "off the record" or "not for social sharing."

8. Enforcement and Corrective Action

The Company reserves the right to take any action it deems appropriate in its sole discretion, including:

- Verbal warning or directive to stop the conduct
- Removal from a session, reception, or the entire Event
- Revocation of credentials/badges
- Prohibition from future Company events
- Involvement of venue security or law enforcement

The Company's decision regarding enforcement is final.

9. Attendee and Employee Responsibility

Attendees and Company employees are responsible for:

- Their own conduct and the conduct of any guests they bring (if guests are permitted)
- Complying with venue rules and local laws
- Exercising appropriate judgment and care during Event activities, including off-site events

10. Liability, Assumption of Risk, Release, and Indemnification (Misconduct and Third-Party Acts)

10.1 No Responsibility for Attendee Misconduct

To the maximum extent permitted by law, the Company is not responsible or liable for the acts, omissions, or misconduct of any attendee, speaker, sponsor, vendor, or other third party.

10.2 Release of Claims Related to Third-Party Misconduct

To the maximum extent permitted by law, you release and discharge the Company and its affiliates, and each of their respective officers, directors, employees, agents, and representatives ("**Released Parties**"), from any and all claims, demands, causes of action, damages, losses, liabilities, and expenses (including reasonable attorneys' fees) arising out of or related to:

- The misconduct, negligence, or intentional acts of other Attendees or third parties; and/or
- Disputes between you and another attendee or third party occurring at or in connection with the Event.

10.3 Indemnification for Your Conduct

You agree to indemnify, defend, and hold harmless the Released Parties from and against any and all claims, demands, causes of action, damages, losses, liabilities, penalties, and expenses (including reasonable attorneys' fees) arising out of or related to:

- Your acts or omissions at or in connection with the Event; and/or
- Your violation of this Code of Conduct, applicable law, or venue policies.

10.4 Limits and Legal Carve-Out

Nothing in this Code of Conduct is intended to exclude or limit liability that cannot be excluded under applicable law. For avoidance of doubt, the above release and indemnification provisions apply only to the extent permitted by law and may not apply to certain claims in certain jurisdictions (including, where applicable, claims arising from the gross negligence or willful misconduct of a Released Party).

11. Acknowledgment and Agreement

By registering for, attending, or participating in the Event, you acknowledge that you have read, understand, and agree to comply with this Code of Conduct. If you do not agree, you may not attend the Event.