

# **FIKA VENTURES | CODE OF CONDUCT**

## **COMPLIANCE WITH LAWS, RULES, AND REGULATIONS**

Acting ethically and obeying the law, both in letter and spirit, are among Fika Ventures' core values. We expect employees, advisors and consultants to understand the legal and regulatory requirements applicable to their area of responsibility, including federal, state, and foreign laws, as well as the relevant regulatory schemes. All employees are also expected to act with integrity and to exercise good judgment and common sense in their efforts to comply with all applicable laws, rules, and regulations and are encouraged to ask Eva Ho and TX Zhuo for advice when they are uncertain about them.

We also believe that every employee is responsible for becoming familiar with Fika Ventures' policies so that they may integrate them into every aspect of our business.

Fika Ventures considers violation of the law, company/firm policies, and this Code of Conduct to be a serious matter. Any violation may subject an employee to disciplinary action, up to and including termination. Additionally, those who work with us, including founders, contractors, consultants, volunteers, and their representatives (collectively, "third parties"), are expected to maintain professional conduct and follow all applicable laws and regulations.

Certain violations may be referred to legal authorities for investigation and civil or criminal prosecution. If you become aware of the violation of any law by Fika Ventures, whether by its officers, employees, or any third party doing business on behalf of Fika Ventures, it is your responsibility to promptly report the matter to your General Partners, Eva Ho and TX Zhuo. While Fika Ventures strives to address matters internally, nothing in this Code of Conduct should discourage you from reporting illegal activity, including any violation of the law whether federal, state, local, or foreign law, rule or regulation, to the appropriate regulatory authority. This Code of Conduct should not be construed to prohibit employees from testifying, participating, or otherwise assisting in any state or federal administrative, judicial or legislative proceeding or investigation.

## **ADDRESSING CONDUCT THAT IS HARMFUL TO OUR CULTURE AND VALUES**

Fika Ventures respects the rights of all employees to express themselves. We believe that open dialogue and free expression of ideas is critical to our business. However, Fika Ventures will take all reasonable and appropriate steps to address situations where an employee's conduct or speech endangers the safety of others, violates others' rights to be free from harassment, discrimination, and retaliation, or otherwise conflicts with Fika Ventures' culture and values, up to and including termination of employment.

## **HONEST AND ETHICAL CONDUCT AND FAIR DEALING**

Fika Ventures employees should endeavor to act honestly, ethically, and fairly in both internal and external dealings, including interactions with co-workers, limited partners, portfolio companies, service providers, and any other third parties with which Fika Ventures may conduct business. Statements regarding Fika Ventures' business must not be untrue, misleading, deceptive, or fraudulent. You must not take unfair advantage of anyone through manipulation,

concealment, abuse of privileged information, misrepresentation of material facts, or any other unfair dealing practice. Employees are also prohibited from creating or submitting false, inaccurate, or misleading invoices, receipts, or other financial or business-related documents to Fika Ventures or related businesses.

### **UNACCEPTABLE BEHAVIOR**

The rules set forth below are intended to provide employees with notice of what is expected of them. However, such rules cannot possibly identify every type of unacceptable conduct and performance. Therefore, employees should be aware that conduct not specifically listed below but which adversely affects or is otherwise detrimental to the interests of Fika Ventures, other employees, or customers, may also result in disciplinary action, up to and including immediate termination.

Employees may be disciplined for misconduct, including but not limited to the following:

- Insubordination
- Dishonesty
- Theft
- Misusing or destroying Fika Ventures property or the property of another on Fika Ventures premises
- Violating conflict of interest rules
- Disclosing or using confidential or proprietary information without authorization
- Falsifying or altering Fika Ventures records, including an application for employment or time records
- Interfering with the work performance of others
- Altercations
- Harassment, including sexually harassing employees, customers, and third parties
- Being under the influence of, manufacturing, dispensing, distributing, using, or possessing alcohol or illegal or controlled substances on Fika Ventures property or while conducting Fika Ventures business
- Sleeping on the job or leaving your work location/work site without authorization
- Violation of safety or health rules
- Possessing a firearm or other dangerous weapon or materials on Fika Ventures property or while conducting Fika Ventures business
- Being convicted of a crime that indicates unfitness for the job or raises a threat to the safety or well-being of the Company, its employees, customers, or property
- Gambling on Fika Ventures premises or while conducting Fika Ventures business
- Failure to call in or report for your scheduled shift of work. An absence of three (3) consecutive scheduled workdays without notifying your supervisor or his or her designee is job abandonment and is considered a voluntary resignation.

Fika Ventures reserves the right to proceed directly to a written warning, demotion, or termination for misconduct or performance deficiency, without resort to prior disciplinary steps, when Fika Ventures deems such action appropriate.

**EMPLOYEE ACKNOWLEDGMENT**

PLEASE SIGN AND RETURN TO EVA HO or TX ZHUO

I acknowledge that I have received and read a copy of Fika Ventures' Code of Conduct Policy. I understand that I am responsible for complying with the policy during my employment with Fika Ventures.

**I HAVE CAREFULLY READ THIS ACKNOWLEDGEMENT.**

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_