

Lorenz Financial Services, LLC

Drug & Alcohol Abuse Policy

September 19, 2016

Lorenz Financial (the company) is a drug-free workplace. The purpose of this policy is to ensure the safety of all employees, the safety of client information and to promote productivity. This policy applies to all full time employees, part time employees, interns and temporary workers.

The company reserves the right to inspect company premises for these substances. We reserve the right to conduct alcohol and drug tests at any time.

Definitions under this policy:

“Company premises” includes all parts of our leased office space, equipment and furniture.

“Drug paraphernalia” are any items used or intended for use in making, packaging, concealing, injecting, inhaling, or consuming illegal drugs or inhalants.

An “illegal drug” is any substance that is illegal to use, possess, sell or transfer.

An “inhalant” is any substance that produces mind-altering effects when inhaled.

A “prescription drug” is any substance prescribed for an individual by a licensed health care provider.

A “substance” includes alcohol, illegal drugs, inhalants, prescription and over-the-counter drugs.

You are “under the influence” if:

- Your behavior or your ability to work safely and productively is impaired; or
- Your physical or mental condition creates a risk to your own safety, the safety of others or company property; or
- Laboratory evidence shows illegal drugs, inhalants or prescription drugs for which you have no prescription is present in your body in more than an identifiable trace; or

- Laboratory evidence shows alcohol is present in your body at 0.04% or more.

Company rules

You must follow these rules while you are on company premises and while you conduct company business. The rules apply any place you conduct company business, including a company vehicle or your own vehicle. Employees found to be in violation of any of the following rules will be subject to disciplinary action, up to and including termination.

1. You may not use, possess, or be under the influence of alcohol on company premises.
2. You may not use, possess, or be under the influence of illegal drugs.
3. You may not sell, buy, transfer, or distribute any drugs. It is against the law to do so, and we will report such actions to the authorities.
4. You may not use, possess, sell, buy, transfer, or distribute drug paraphernalia.
5. You may not use or be under the influence of inhalants.
6. You must follow these rules if you take prescription or over-the-counter drugs on the job.
 - You may use a prescription drug only if a licensed health care provider prescribed it for you within the last year.
 - You must report the use of prescription or over-the-counter drugs to management if the use might impair your ability to perform your job safely and effectively.
 - You may use prescription or over-the-counter drugs only if they do not generally affect your ability to work safely.
 - You must follow directions, including dosage limits and usage cautions.
 - You must keep these drugs in their original containers or bring only a single-day supply to work.

The company may consult with a doctor to determine if a prescription or over-the-counter drug may create a risk if you use it on the job. The company may change your work duties or restrict you from working while you are using a prescription or over-the-counter drug that creates such a risk.

7. If you are convicted of any criminal drug violation, you must report the conviction to management within 5 days.
8. You should report immediately to management any action by an employee who demonstrates an unusual pattern of behavior. Management will determine whether an investigation should be conducted.

You must cooperate with any investigation into substance abuse. An investigation may include tests to detect the use of alcohol, drugs, or inhalants. Refusal to do so will result in disciplinary action, up to and including termination. Employees, their possessions, and Company-issued equipment and containers under their control are subject to search and surveillance at all times while on company premises or work sites or while conducting company business.

Testing

Testing may include urine, hair, or breathalyzer tests. Before testing, you will have the chance to explain the use of any drugs. We will follow laws for keeping tests results confidential.

Testing Frequency

Testing will take place during the hiring process, anytime the company business or property has been damaged by \$100 or more, or on a random basis at any time during employment as directed by a company officer.

Consequences

The company may terminate or deny your employment if you violate this policy, refuse to be tested, delay being tested by 4 hours or more after being requested to be tested or provide false information to the company, the tester or a police representative.

Policy Changes

This alcohol and drug abuse policy can be changed or updated at any time. If so, the changes will be reviewed with all employees and new forms will be signed.

Agreement to follow policy

I have received and read a copy of the drug and alcohol abuse policy for Lorenz Financial. I agree to follow the rules in the policy.

Employee Name (please print)

Employee Signature

Date

Witness Name (please print)

Witness Signature

Date