

III. CORE POLICIES ON EQUAL EMPLOYMENT OPPORTUNITY, NON-HARASSMENT AND SEXUAL HARASSMENT POLICIES

As an organization Lumina strives to demonstrate and promote respect for the dignity and worth of every individual. Accordingly, all employees are expected always to treat others with courtesy, basic decency, and professionalism. These expectations are reflected in the following Equal Employment Opportunity, Non-Harassment, Anti-Sexual Harassment and Non-Retaliation policies (together referred to as the “Core Policies”).

All employees are personally responsible for complying with Lumina’s Core Policies. In addition, managers and supervisors are directly responsible for supporting the Core Policies with respect to all employees they supervise and recruit, and the Director of Human Resources and Administration is responsible for supporting the implementation of the Core Policies and Lumina’s other employment-related policies.

Equal Employment Opportunity

It is the policy of Lumina Foundation to provide equal employment opportunity for all, regardless of race, color, sex (including pregnancy), sexual orientation, gender identity, religion, national origin, age, veteran status, disability, genetic information, or other bases protected by local, state or federal law. Lumina also prohibits retaliation and harassment of any individual based on any of these characteristics.

This Equal Employment Opportunity policy governs all aspects of employment at Lumina, including recruitment, selection, job assignment, compensation, corrective action, termination and access to benefits and training. Job assignments, promotions, transfers, upgrading, terminations, and other changes in employment status, compensation and training may be based on job-related criteria that may include but are not limited to: past work performance, length of service and willingness, capacity, and ability to perform the essential functions of the job.

Lumina will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship or a direct threat is posed to the employees or others.

Non-Harassment

It is the policy of Lumina Foundation to provide a work environment in which no employee will be subjected to harassment by another employee or by others associated with Lumina (including but not necessarily limited to grantees, contractors, and invited guests) on the basis of race, color, sex (including pregnancy), sexual orientation, gender identity, religion, national origin, age, veteran status, disability, genetic information, or other bases protected by law.

Prohibited harassment includes, but is not limited to:

- Epithets, slurs, negative stereotyping, or threatening, intimidating or hostile acts that relate to one or more protected criteria.
- Written or graphic material that defames or shows hostility or aversion toward an individual or group because of one or more protected criteria.

All forms of prohibited harassment have absolutely no place at Lumina Foundation and will not be tolerated.

Sexual Harassment

It is the policy of Lumina Foundation to provide employees with an environment free from sexual and sex-based harassment. Sexual harassment is a form of discrimination and will not be tolerated. It can occur between members of different sexes or it can occur between members of the same sex. It may include offering special job benefits in exchange for sexual favors, or it may include threatening to withhold job benefits unless sexual favors are granted. Another type of sexual harassment includes conduct of a sexual nature that creates a hostile or offensive work environment. Such conduct could include, but is not limited, to sexually derogatory comments, sexually stereotyped comments, indecent comments, unwelcome jokes, unwelcome sexual gestures, unwelcome advances or unwelcome touching.

Reporting and Investigation of Alleged Violations of the Core Policies

If you experience, observe, or gain knowledge of behavior that you believe in good faith constitutes a violation of any of the Core Policies, you should immediately disclose the situation, preferably in writing, to any of the following:

- Your supervisor
- (If the behavior in question involves your supervisor) Your supervisor's supervisor
- Director of Human Resources and Administration (Shelley Lloyd)
- Associate General Counsel (Thomas Major)
- Either Compliance Officer (Holly McKiernan or Brad Kelsheimer)
- EthicsPoint (online at www.ethicspoint.com, or by telephone at 1-888-340-2472)

At a minimum, written reports of alleged violations should include:

- The date(s), time(s), and location(s) of all incidents that took place,
- A description of each incident, i.e. what was said, what was done, etc. and
- The name(s) of anyone present during the incident

If you obtain additional information about the matter after making an initial report, you have a duty to report that information as well. In addition, if the behavior that violates any of the Core Policies continues or resumes after your initial report, you should report the additional behavior. If you do not think that a report has been sufficiently addressed, please contact either Compliance Officer.

While we recognize that an employee may be hesitant to report inappropriate conduct engaged in by others with whom he/she works, we want each employee to understand that it is your responsibility to make a prompt report which then allows management the opportunity to address the matter in a way that honors the core principles described above.

Lumina will conduct a timely investigation of all complaints. Each employee is expected to cooperate in any such investigation. While we will make every effort to conduct each investigation with sensitivity to privacy issues, Lumina retains the right to discuss relevant information with appropriate

parties on a need-to-know basis. Although Lumina cannot expressly require the complainant and/or witnesses to remain silent about the matter of the complaint, we do advise that excessive talking/gossip about the complaint and/or investigation can hamper the investigation and implementation of the resulting decision.

Lumina's Compliance Officers will determine the appropriate corrective action based on the results of the investigation; this action may include termination of the accused employee. In most cases, the individual reporting the alleged harassment will be advised of the outcome of the investigation as soon as is practical. However, because any corrective action taken would be a confidential personnel matter, Lumina typically will not be able to reveal the details of management's corrective action to the complainant.

Each matter will be considered on a case-by-case basis considering the available facts.

Incidents Involving Non-Lumina Employees

As discussed above, Lumina's Core Policies apply not just to our employees but to those with whom our employees come into contact. The Compliance Officers will review all alleged violations of Core Policies by non-Lumina employees (including grantees, contractors, invited guests, and any other non-Lumina party encountered during the scope of your assigned duties). Employees should use the above-listed process to report any such allegations. While we cannot guarantee Lumina's ability to compel certain actions or outcomes in instances where the accused party is not a Lumina employee, all reports will be reviewed and are subject to further action (up to and including termination of any associated working or business relationship).

Protection from Retaliation

Lumina Foundation forbids acts of reprisal, harassment, intimidation, threats, coercion and/or discrimination against any employee who, in good faith, raises concerns and/or makes reports by:

- filing a complaint with Lumina or with federal, state or local agencies;
- assisting or participating in any investigation, compliance review, hearing or any other activity related to the administration of any federal, state or local equal employment opportunity or affirmative action statute;
- opposing any act or practice made unlawful by federal, state or local law requiring equal employment opportunity or affirmative action; or
- exercising any other employment right protected by federal, state or local law or its implementing regulations.

Lumina's Code of Conduct authorizes corrective action (up to and including termination) for any employee who is determined to have retaliated against a colleague who submits a good faith report of a violation of these or other Lumina policies.