

# GOELZER

INVESTMENT MANAGEMENT

MAY 14, 2020



*Our Return to the Office Plan: May 18<sup>th</sup> through July 3<sup>rd</sup>*

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## *Our Top Priority*

- ❏ The health of our clients, our team, and those they love is our top priority.
- ❏ Goelzer Investment Management prides itself on being a good corporate citizen, and we want to continue to contribute to the wellbeing of our community, state, and country.
- ❏ While working remotely, we have continued to:
  - ❏ Provide excellent service to our clients;
  - ❏ Press forward on our annual and quarterly priorities; and,
  - ❏ Grow stronger as a team.
- ❏ While we have proven we can work remotely very effectively, we believe that we operate best when we are together in person, collaborating as a team.
- ❏ As we proceed with returning to the office, we will do so in a manner consistent with legal requirements, our values, and best practices to protect individual health.



## *Our Values*

### *Integrity*

Doing what's right. Even when no one's watching.

### *Enrichment*

Improving lives. And pushing ourselves to get better.

### *Positivity*

Finding joy in the moment and always looking forward.

### *Focus*

Paying attention only to what matters.

### *Respect*

Showing appreciation for each person we encounter.

To our investors, we are

*A Trusted Guide.*



To our community, we are

*Partners.*



To our team members, we are

*Family.*



## *Summary of Our Plan*

*We are returning to the office in a manner consistent with the law, our values, and best practices.*

*Returning to the office starts at home; so, please follow the CDC's guidelines.*

*The building and our office are being cleaned regularly.*

*Those 65 and older or who are in a high-risk category should continue to work from home.*

*Everyone will have a health screening check before entering the office.*

*Those who are ill or who believe they have been in contact with someone with COVID-19 are not permitted in the office.*

*We have a rotating work schedule to operate at essentially 50% of staff in the office at one time.*

*We require masks in the office when not alone at your workspace.*

*We require social distancing in the office, and we limit the number of people meeting in person.*

*We encourage, and in some cases require, "remote working" while in the office.*

*The office is open to visitors for only very limited purposes.*

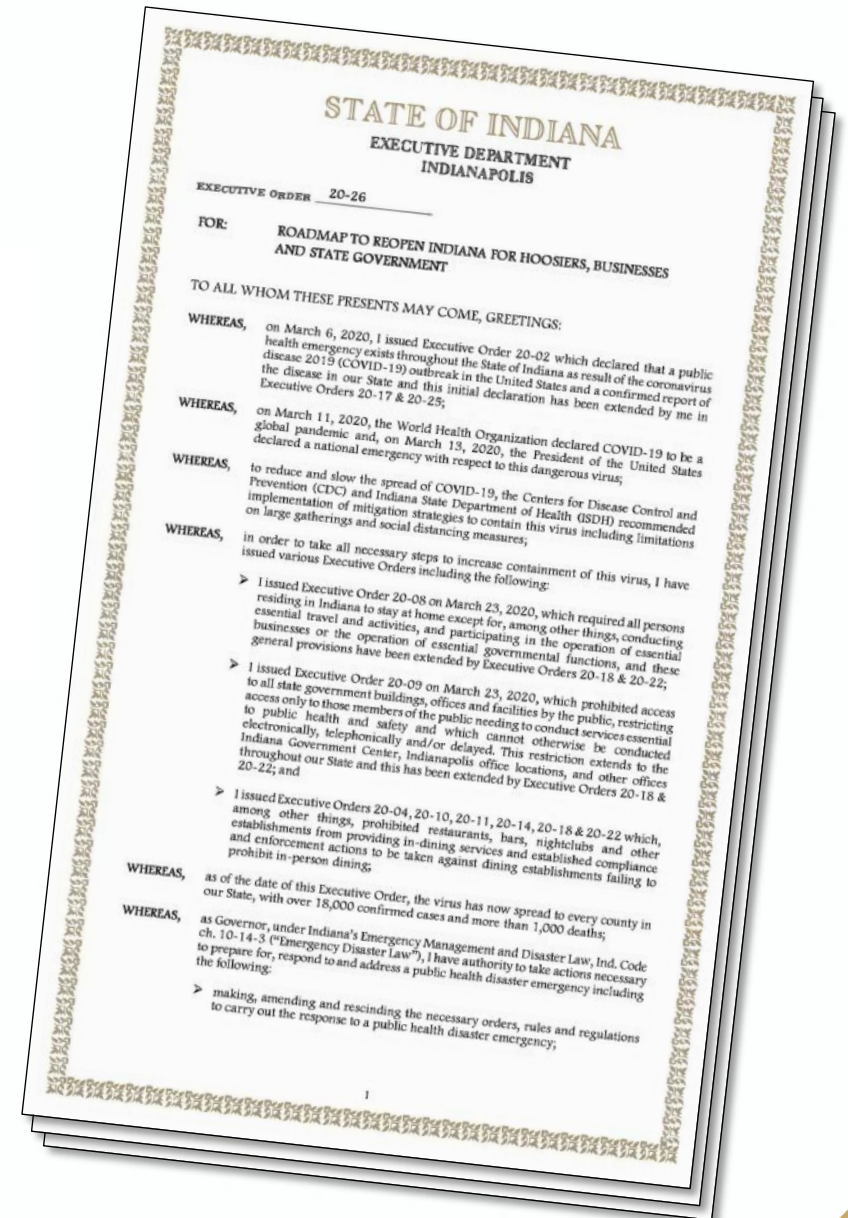
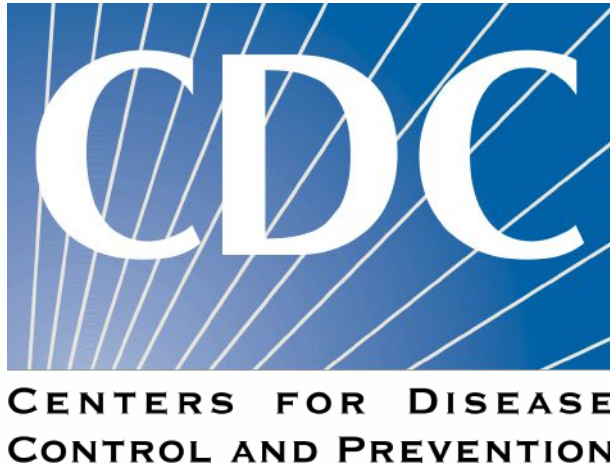
*We will continuously improve our plan as we move forward.*

*We respect that there are different points of view and will continue to be flexible.*



*1. Our Plan Is Informed by Best Practices*

## *Best Practices Guiding Our Plan*



## *“Back on Track Plan” Principles*

1. The number of hospitalized COVID-19 patients statewide has decreased for 14 days.
2. The state retains its surge capacity for critical care beds and ventilators.
3. The state retains the ability to test all Hoosiers who are COVID-19 symptomatic, as well as healthcare workers and others.
4. Health officials have systems in place to contact all individuals who test positive for COVID-19 and complete contact tracing.

# BACK ON TRACK INDIANA PLAN EXPLAINED

CLOSED/VIRTUAL ONLY

ESSENTIAL ONLY

75% CAPACITY

FULLY OPEN WITH SOCIAL DISTANCING

PICKUP AND DELIVERY ONLY

50% CAPACITY

OPEN WITH RESTRICTIONS

	STAGE 1: March 24 - May 4	STAGE 2: May 4 - 23	STAGE 3: May 24 - June 13	STAGE 4: June 14 - July 3	STAGE 5: July 4 and Beyond
Social Gatherings	10 People or Fewer	25 People or Fewer	100 People or Fewer	250 People or Fewer	250+ People Permitted
Facial Coverings	Recommended	Recommended	Recommended	Optional	Optional
Government Offices	Closed to the Public	Limited Public Access	Limited Public Access		
Manufacturing, Industrial					
Office Settings		Remote Work Encouraged	Remote Work Encouraged		
Retail					
Restaurants		May 11th			
Bars and Clubs					
Gyms					
Personal Services		May 11th*			
Entertainment and Tourism					
Religious Services		Services May Convene Following Guidelines Starting May 8th	Services May Convene Following Guidelines	Services May Convene Following Guidelines	

Note: This roadmap is subject to change based on CDC guidance and other new information. Local governments may impose more restrictive guidelines. Stage 2 will begin on May 11 for Lake and Marion counties and May 18 for Cass County.

\*Visit [backontrack.in.gov](https://backontrack.in.gov) for more information and guidelines for reopening Indiana and industry specific guidance for face coverings, etc.

BACK ON TRACK

INDIANA

#BackOnTrack

backontrack.in.gov

This piece was created on May 4, 2020. If you see different information published on a more recent date, please use the most current recommendations.



## *How to Protect Yourself & Others*

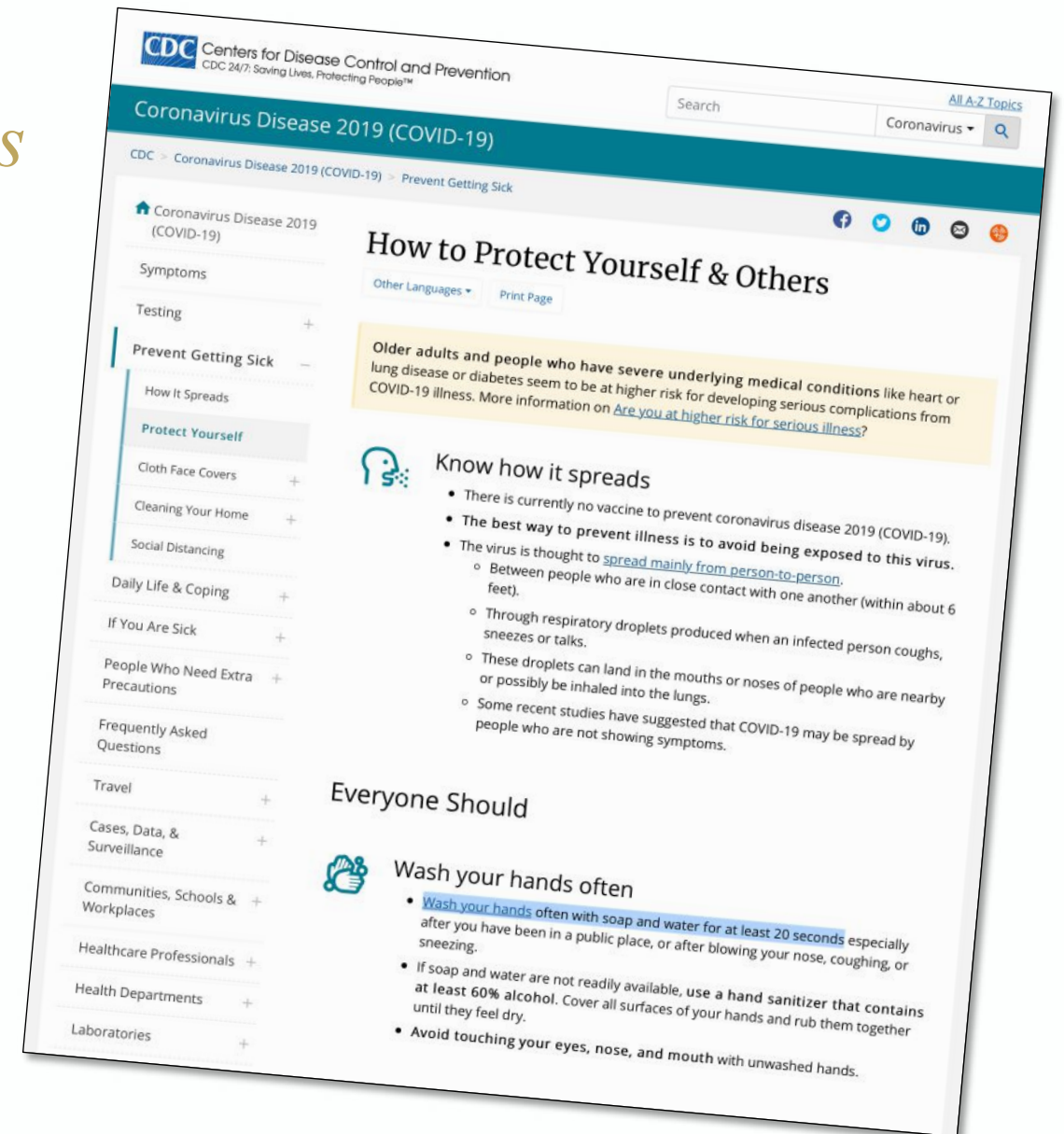


- ❖ The best way to prevent illness is to avoid being exposed to this virus.
- ❖ The virus is thought to spread mainly from person-to-person.
  - ❖ Between people who are in close contact with one another (within about 6 feet).
  - ❖ Through respiratory droplets produced when an infected person coughs, sneezes or talks.
  - ❖ These droplets can land in the mouths or noses of people who are nearby or possibly be inhaled into the lungs.
  - ❖ Some recent studies have suggested that COVID-19 may be spread by people who are not showing symptoms.



## *How to Protect Yourself & Others*

- ❏ Wash your hands often with soap and water for at least 20 seconds
- ❏ Avoid close contact
- ❏ Cover your mouth and nose with a cloth face cover when around others
- ❏ Cover coughs and sneezes
- ❏ Clean and disinfect frequently touched surfaces daily.



## *Informed by Guidelines for Professional Office Settings*

- ❏ Require symptomatic employees to stay home and recommend they be tested
- ❏ Limit the number of in-person meeting participants
- ❏ Require regular hand washing and face coverings for employees
- ❏ Group employees by shifts to reduce exposure
- ❏ Provide sanitizing supplies in common areas
- ❏ Limit congregation in office spaces
- ❏ And more...

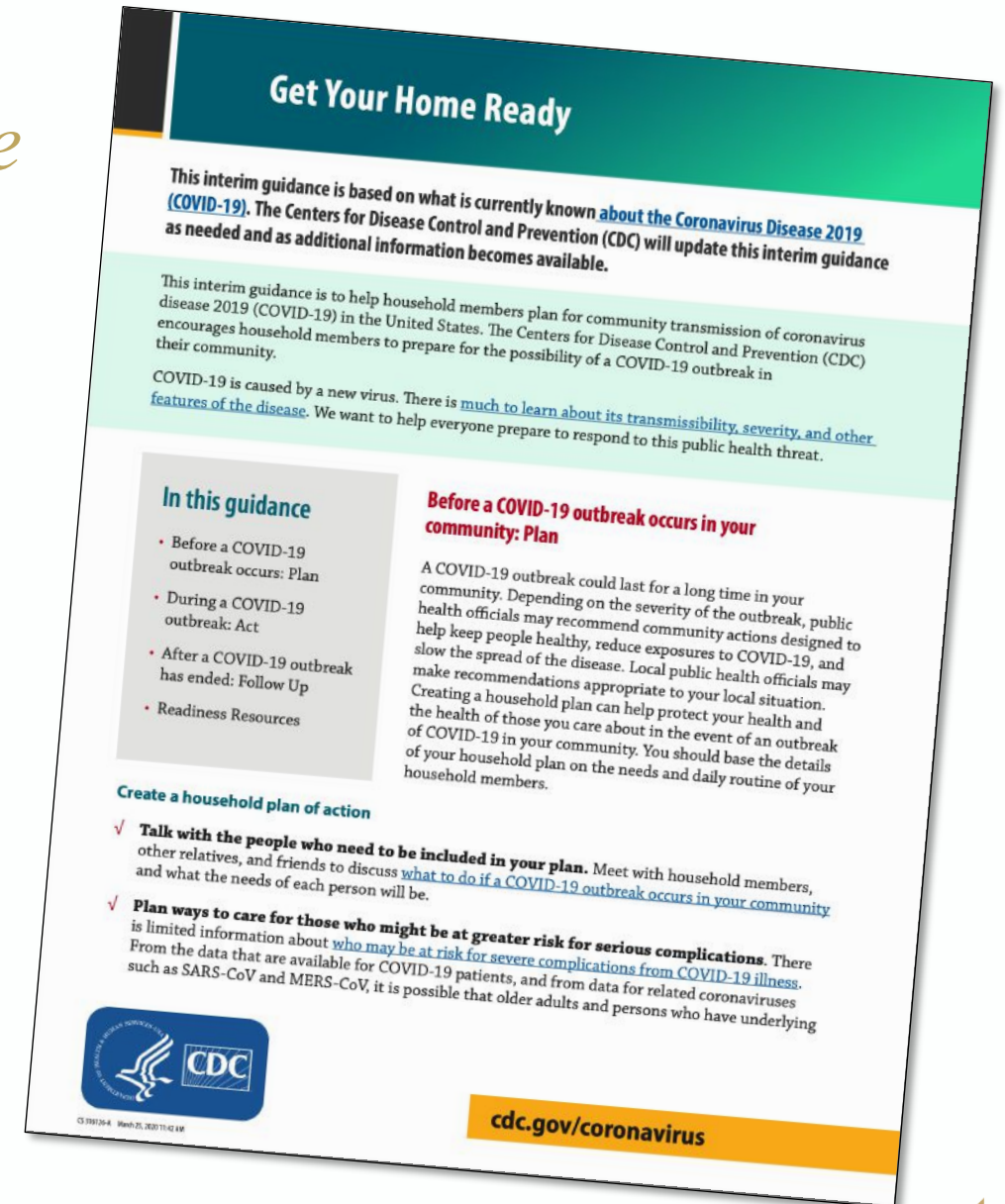


## *2. Goelzer's Return to the Office Plan*

## *Returning to the Office Starts at Home*

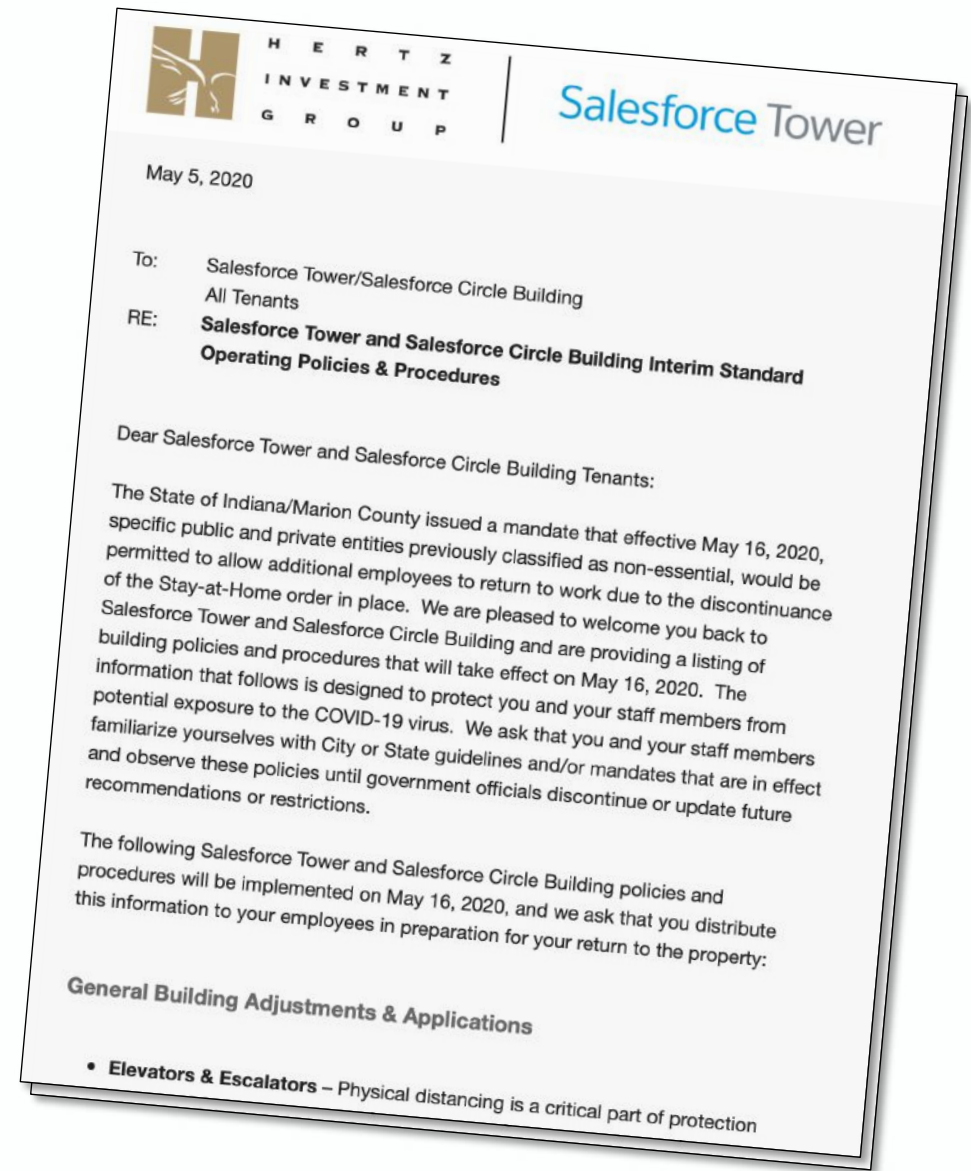
### ❖ CDC Recommendations for Daily Life & Coping:

- ❖ Household Checklist
- ❖ Living in Close Quarters or Shared Housing
- ❖ Protect Yourself When Running Errands
- ❖ Stress and Coping
- ❖ Caring for Children
- ❖ Visiting Parks and Recreational Facilities
- ❖ Pets & Other Animals



## *Building Protections*

- ❖ We will continue to collaborate with the Hertz Investment Group, which manages the Salesforce Tower.
- ❖ Hand sanitizer stations/dispensers will be provided in locations such as building entrances, elevator lobbies on the ground floor, loading docks, and in common areas.
- ❖ One stairwell will be for upward traffic and one for downward traffic (except in emergencies).
- ❖ Hertz has other limitations in place to protect our health. (See link below.)
- ❖ Goelzer strongly encourages social distancing when using the elevators and encourages the use of the stairs.



## *Workplace Protections*

- ❏ We will continue to clean and disinfect our office.
  - ❏ The office will be cleaned again before we return and then regularly on a weekly basis (or more often if needed).
  - ❏ The carpet will be cleaned prior to May 17<sup>th</sup>.
- ❏ The Salesforce Tower/Circle Building will provide expanded janitorial services that will include nightly (M-F) disinfection of frequently touched surfaces and objects in our office.

- ❏ Those surfaces/objects include:
  - ❏ Tables;
  - ❏ Door handles and doorknobs;
  - ❏ Refrigerator handles;
  - ❏ Light switches;
  - ❏ Countertops;
  - ❏ Handrails;
  - ❏ Faucets and sinks; and,
  - ❏ Toilets.



## *The Office Is Open to Employees*

- ❖ The office is open to employees (not otherwise restricted).
- ❖ Employees 65 and older and those with identified high-risk conditions should continue to work from home as much as possible, which includes those:
  - ❖ With chronic lung disease or moderate to severe asthma;
  - ❖ Who have serious heart conditions, diabetes, chronic kidney disease undergoing dialysis, or liver disease; or,
  - ❖ Who are immunocompromised (caused by cancer treatment, immune deficiencies, prolonged use of corticosteroids and other immune weakening medications, and more).
- ❖ Employees who need to care for a sick loved one or to provide childcare that cannot otherwise be provided are permitted to work from home.



## *The Office Is Open to Visitors for Only Very Limited Purposes*

- ❖ **Advisors are encouraged to meet with clients by video conference or telephone.**
  - ❖ Advisors may meet clients in person at an appropriate social distance.
  - ❖ Meetings in the office during this time period are strongly discouraged.
  - ❖ No meeting with a client should be delayed or declined without talking to Brian Pyne (Private Clients) or Don Hutchinson (Institutional Clients), as applicable.
- ❖ **Vendors should not visit the office unless their physical presence is required.**
  - ❖ Vendor visits will be precleared with the Office Manager, who will coordinate with the Chief Operating Officer.
- ❖ **All visitors are REQUIRED to go through our health screening process.**



## Health Screening Process: Step 1



❖ To enter the office, an individual is **REQUIRED** to go through this process.

❖ **STEP 1:** Do you have a new, worsening, or unusual:

Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Loss of taste or smell?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Cough?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Shortness of breath?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Chills?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Sore throat that hurts when you swallow?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Muscle aches?</i>
Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Nausea / vomiting?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Diarrhea?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Abdominal pain?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Headache?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Runny nose?</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>Fatigue?</i>




❖ If you answered YES to any one of these questions, you are **REQUIRED** to leave the office.



## *Health Screening Process: Steps 2, 3, & 4*



### STEP 2: Check Your Temperature

-  If you answered NO to all of the questions in Step 1, then take your temperature.
  -  If your temperature is at or above 100.4°, you are **REQUIRED** to leave the office.
  -  If your temperature is below 100.4°, you may proceed to Step 3.

### STEP 3: Sanitize Your Hands

### STEP 4: Enter the Office & Comply with the Other Requirements of this Plan



## Required Actions for Those Ill or Potentially Exposed

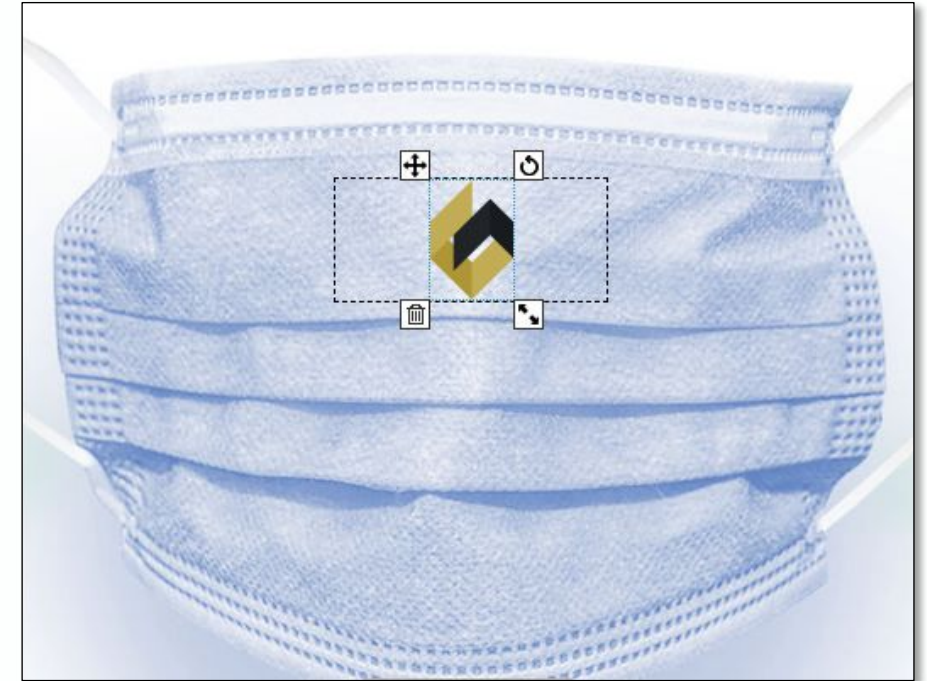


- ❖ Until cleared by a medical professional to return to the office, the following are not permitted to enter the office:
  - ❖ Employees who present symptoms of the COVID-19 virus or any other contagious illness; or,
  - ❖ Employees who believe they have been in contact with an individual infected by the COVID-19 virus.
- ❖ Any such employee is REQUIRED to notify the Chief Operating Officer immediately.
  - ❖ Your identification and personal medical information will be kept confidential.
  - ❖ The office will be promptly notified (without violating your confidentiality) to ensure each person can take appropriate action.



## *Employee Hygiene*

- ❖ Employees are **REQUIRED** to wear facemasks while in the office unless they are sitting alone at their workstation.
- ❖ The firm has purchased facemasks for every employee and will continue to supply them as supplies allow.
- ❖ Employees are strongly encouraged to avoid touching their face.
- ❖ Employees will have ready access to hand sanitizer and disinfectant wipes, as supplies allow.
- ❖ Employees should regularly wash hands throughout the day and clean up after themselves with disinfectant wipes after using common areas.
- ❖ No dishes, utensils, etc. will be left in the sink. Place items in the dishwasher.



## *Social Distancing in the Office*

- ❖ Employees in the office are **REQUIRED** to make their best efforts to maintain a distance of 6 feet or more between coworkers.
- ❖ If you feel someone is too close, just say:
  - ❖ “We need to maintain at least six feet of distance.”
  - ❖ “Yo Dude! 6 feet please!”
- ❖ Employees should not linger around other’s workspace.
- ❖ In lieu of handshakes and high fives, employees are encouraged to give a thumbs up.
- ❖ Limits on In Person Attendance (**REQUIRED**)
  - ❖ No more than 2 employees should be in an individual’s office or the small conference room at one time.
  - ❖ No more than 3 employees should be in the breakroom at a time.
  - ❖ No more than 4 employees should be in the large conference room at one time.
  - ❖ No meetings of 5 or more should be held in person in the office.
- ❖ Employees should minimize their time in the breakroom and conference rooms so as to allow other employees to use these rooms without violating these limitations.



### *3. Frequently Asked Questions*

## *FAQs about Returning to the Office*

- ❏ **May I continue to work from home if I need to care for my child?**
  - ❏ Yes. We understand that the cancellation of instruction at school, camps, and other activities normally relied upon to provide childcare affects parents.
  - ❏ Employees may continue to work from home to care for children until July 3<sup>rd</sup> if childcare is not otherwise available. If childcare is provided on an intermittent basis, we will work with you on a case-by-case basis to come to an appropriate arrangement.
- ❏ **If I need to work from home because of a health reason, to provide childcare, or for some other approved reason, will working from home during this time period affect assessments of my performance?**
  - ❏ No. Working from home for an approved reason will have no bearing on an assessment of your performance. We care about customer service, collaboration, and continuous improvement!



## *FAQs about Returning to the Office*

- ❏ **What if I continue to have concerns about coming back to the office?**
  - ❏ While we have proven we can work remotely very effectively, we believe that we operate best when we are together in person, collaborating as a team. As we proceed with returning to the office, we will do so in a manner consistent with legal requirements, our values, and best practices to protect individual health.
  - ❏ We understand that you may still have concerns. For the period of May 18<sup>th</sup> through June 12<sup>th</sup>, you may continue to work from home if you prefer to do so.
- ❏ **What if I return to work and later feel I should stay home?**
  - ❏ We understand that circumstances may change, and feelings about those circumstances may change. Let's continue to take this one step at a time.
- ❏ **What if I need some type of reasonable accommodation from aspects of this plan?**
  - ❏ We will, of course, consider any good faith concern or request to ensure our application of the requirements of this plan are compatible with any legally protected or otherwise appropriate objection or need. Please address such concerns to the Chief Operating Officer.



## *FAQs about Returning to the Office*

- ❖ **What if I have a concern about another person's compliance with this plan?**
- ❖ Let's take great care to respect each and every individual during this uncertain time. Each of us will have a different sense of what's appropriate during this time.
- ❖ For example, your view of six feet of distancing may be less than someone else's view of six feet. It doesn't matter who's "right." Don't get out a measuring tape! It just matters that we respect one another. So, if you feel you need more space, just ask for it and the other person will take a step back.
- ❖ Some concerns can be addressed directly and respectfully, while some concerns need to be referred to your team leader or the Chief Operating Officer.
- ❖ Employees with a good faith concern about another employee's compliance with this plan are encouraged to speak directly with the Chief Operating Officer. (For concerns relating to the Chief Operating Officer, speak to the Chief Executive Officer or President.)
- ❖ Concerns will be dealt with discretely and promptly.



*Thank you*

