



Reuters Insight

Offline Consultation Certification

*Version 1.0*



THOMSON REUTERS

# Thank you for joining the Community of Experts

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**To be eligible to engage in a Reuters Insight project, all members must complete The Reuters Insight Consultation Certification Module.**

*Upon successful completion of this module, you will be officially authorized to consult through Reuters Insight.*

**Let's get started**

# Introduction

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We strive to ensure that all members of the Reuters Insight Community of Experts understand and uphold the principles and practices set forth in the Community Agreement. Our policies exist to protect our experts, our clients and Reuters Insight.

This module will a) reinforce key elements of the Community Agreement and b) offer guidance on standard consultation practices.

## **The Consultation Certification Module:**

- Does not replace the requirement for you to review and accept the Community Agreement.***
- Has been designed to take no longer than 10 minutes.***
- Must be completed in a single session.***
- Requires you to complete nine questions to confirm your understanding of key principles.***
- Provides a direct link for you to contact us if you have any questions.***

# Accuracy of information provided to Reuters Insight

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Reuters Insight is in the business of connecting our clients with highly relevant experts to address client inquiries. Since we rely heavily on member-furnished information to conduct client/expert matching, the personal information you provide is critical.

## Providing Reuters Insight with accurate and current information:

- ***Maximizes the likelihood that our clients will only hear from members with relevant expertise, capable of delivering meaningful insight and heightening their understanding of key issues.***
- ***Ensures that you will only be considered for projects on which you can offer relevant insight and advice.***
- ***Precludes the possibility that you will be engaged on an assignment that is not properly aligned with your qualifications.***

We strongly encourage you to get in the habit of updating your profile regularly, e.g. listing current jobs and exclusions. This ensures that you can be matched for consultations as accurately as possible.



# Eligibility to consult for Reuters Insight

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## In order to be eligible for a consultation:

- *You must possess relevant topical knowledge.*
- *You should not be subject to any agreements, policies or restrictions that would prohibit your participation in a consultation.*
- *You cannot directly discuss your company's business.*

## It is your responsibility to:

- *Identify any agreements that may prevent you from consulting.*
- *Establish whether your employer has a policy on outside consulting (and communicate this information to Reuters Insight).*

Do not hesitate to contact Reuters Insight to discuss consultations where you are unsure if you are eligible.

# Confidential Information

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At Reuters Insight, confidentiality is critical to our business.

While participating in any consulting project, you may not breach any confidentiality or non-disclosure agreement that you might have with any other party.

The identity of a Reuters Insight client, the nature of the client's inquiry, and the response or perspective you offered that client must be considered confidential and highly sensitive.

***Our clients must be able to interact with Reuters Insight and our experts with great confidence in not only our integrity, but our professional discretion as well.***

Additionally, please be mindful that:

- If you are invited to consult on a given company, do not contact that company's employees to prepare for the consultation.***
- Passing on confidential information to a client puts you and them at risk.***

# Complying with Securities Laws

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Reuters Insight, our clients, and all members of the Community of Experts are bound by all applicable securities laws.

Do not share or act upon material non-public information. For clarity, the Securities and Exchange Commission offers this description: *Information is material if "there is a substantial likelihood that a reasonable shareholder would consider it important" in making an investment decision. Information is non-public if it has not been disseminated in a manner making it available to investors generally.*

**You cannot trade in securities based on material non-public information. Note that information that is shared with you by a client during an engagement may be of this nature.**

**You cannot direct anyone else to trade based on such information. This is a violation of securities law, and may subject you to criminal and civil penalties.**

Please be mindful that it is your responsibility to act in accordance with applicable securities laws.

# Conflicts of Interest

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Upon being invited to consult, an expert must disclose whether the proposed consultation relates to any entity with which he or she has an affiliation.

***Affiliations would include situations in which an expert is a director, employee, advisor to or agent for a company that might be referenced in the project.***

If you have provided services to or have an interest in any entity relating to the project's topic, you should notify Reuters Insight of any potential conflicts of interest.

Please advise Reuters Insight about any affiliations or agreements (non-disclosure or other) that might influence your ability to engage on a project.

## Consultations outside of Reuters Insight

Occasionally, a Reuters Insight client will remain interested in an expert's perspective long after we have matched the two parties for a consultation. The client may attempt to reach out directly to the expert to resume their dialog. Alternatively, the expert may consider soliciting the client directly for continued consultation.

The Reuters Insight consultation framework has been designed to protect our clients and our experts. If a consultation takes place outside of this framework, experts and clients would be subjecting themselves to unnecessary risk.

As a member of the Reuters Insight Community of Experts:

- **You cannot solicit or accept any new relationship with a client for a period of one year after project completion without the prior written permission of Reuters Insight.**
- **It is important to note that this pertains *only* to clients to whom you were first introduced by Reuters Insight.**

With few exceptions, it is in all parties' best interests to conduct consultations through Reuters Insight.

# Review Questions

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## Question #1

- You are the chief of product development at a gaming software provider. You have been invited to consult on a topic that is beyond the scope of your expertise. Should you accept?

Yes

No

## Question #2

- You are on a job interview. Like most members of the Community of Experts, you have added this affiliation to your resume. In the interview, your consulting activities become a topic of conversation. Your host is interested in knowing to whom you were connected by Reuters Insight. Can you divulge in this setting?

Yes

No

# Review Questions

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## Question #3

- You are a physician associated with a major medical center. Reuters Insight contacts you to participate in a consultation with XYZ Co., a healthcare supply manufacturing company. You are aware that your employer has recently implemented a policy for its medical professionals that limits the scope of acceptable outside consulting engagements. Do you need to check with your employer before engaging in this project?

Yes

No

## Question #4

- Your employer has just transferred you from their Mountain View, California headquarters to their offices in Nashua, New Hampshire. Nothing about your credentials has changed, nor has your email address. Do you still need to update your profile?

Yes

No

# Review Questions

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## Question #5

•An acquaintance mentions that he has a friend at an aggressive growth mutual fund. It seems that his friend told him that you had offered valuable insight in a recent consultation with that fund. Your acquaintance proceeds to ask you about the focus of the consultation. Can you tell him?

Yes

No

## Question #6

•You were made redundant when your longtime employer – an energy company – was acquired last year. You became eligible for a generous severance package upon signing certain agreements that seemed fairly standard. Six months later, you have been invited to consult on the solar market, one of your main areas of expertise. Can you accept the invitation without reviewing those agreements?

Yes

No

# Review Questions

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## Question #7

•You work in the finance department at a major consumer electronic retailer. You work directly on preparing the quarterly financial statements that are distributed in your firm's earnings releases. You've finished your portion of the statements one week before your company is set to announce its quarterly earnings. Can you share this information in a consultation?

Yes

No

## Question #8

•You have been invited to consult on a project focusing on a particular defense contractor. You have deep knowledge of this company, given that you sit on the board of directors of that corporation. Do you need to notify Reuters Insight of your position on the board before accepting the project?

Yes

No

# Review Questions

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## Question #9

•In your recent consultation through Reuters Insight, a rich Q&A session followed the discussion. The call, which was scheduled to be one hour in duration, concluded before all client questions had been handled. A week later, the resourceful client has located and contacted you directly, asking to resume the Q&A. Can you accept this offer?

Yes

No

# Answers to review questions

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## Question #1- Eligibility to Consult: NO

- *You should only accept a consultation if it is a fit with your specific expertise. In the event that you have been mismatched with a consultation topic, it is your responsibility to notify Reuters Insight of the oversight.*

## Question #2 - Confidential Information: NO

- *All consultation information is confidential and the identity of a Reuters Insight client, the nature of the client's inquiry, and the response or perspective you offered must be considered as such. You should not divulge the content of your consultations to any third party or in the course of subsequent consultations.*

## Answers to review questions continued

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### Question #3 – Employer Agreements: YES

- *You should not engage in a consultation until you have reviewed your employer's policy and are confident that you are allowed to participate. This may include clearing this particular consultation with your employer. You are responsible for complying with any applicable employer policies*

### Question #4 – Accuracy of Information YES

- *It is essential that your biographical and employment information is kept current at all times and that you immediately update your profile when any information changes. Our ability to match your expertise with a client request is based upon the quality of information you provide.*

## Answers to review questions continued

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### Question #5 – Confidential Information: **NO**

***•All consultation information is confidential and should be treated as such. You should not divulge the content of your consultations to any third party or in the course of subsequent consultations.***

### Question #6 – Employer Agreements: **NO**

***•It is your responsibility to review all applicable agreements to confirm that you are eligible to participate in a consultation. This responsibility extends to the review of severance agreements with a former employer. In the event that you become aware of any issue, you must immediately notify Reuters Insight.”***

## Answers to review questions continued

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### Question #7 – Complying with Securities Laws: NO

*•Until such times as your company publicly announces its quarterly earnings to investors, this information constitutes material non-public information. Financial statements are considered to be material as they would be deemed to be important by a shareholder when making an investment decision. Additionally, these statements would be considered non-public since they have not yet been disseminated to investors.*

### Question #8 – Conflicts of Interest: YES

*•In the event that a consultation to which you have been invited poses a potential conflict of interest, it is your responsibility to notify Reuters Insight of that conflict. You must disclose to us if a Consulting Project is related to any entity with which you are affiliated, either directly or indirectly.*

## Answers to review questions continued

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### Question #9 – Consultations outside of Reuters Insight: NO

*•As a condition of your membership you are not allowed to speak with a client first introduced to you by Reuters Insight unless you have been put in touch with them directly by Reuters Insight. In the event that a client contacts you directly, you should refer them to Reuters Insight and notify us immediately.*

## Acknowledgement of Confirmation

*I confirm that I have reviewed and understood the Consultation Certification and agree to operate in accordance with the Reuters Insight Community Agreement.*

- Signed \_\_\_\_\_
- Name \_\_\_\_\_
- Title \_\_\_\_\_
- Company \_\_\_\_\_
- Date \_\_\_\_\_