**General Information**

EY client-serving professionals, including their immediate family members, are required to comply with the Firm’s Independence Policy. It is important that searches are performed to determine whether financial relationships are permitted or restricted. Do not infer that a security is permitted if the searched security is not in the result set. Please contact [Ask Independence (ey.com)](https://askindependence.ey.com/), and provide security name, code (cusip, isin, etc) and ticker.

**External Independence System Security Search** is used to determine whether securities (such as stocks, bonds, mutual funds, etc.) are permitted or restricted for EY professionals and their immediate family members.

**Candidates considering employment as client serving professionals** use this site to determine whether financial relationships are permitted and resolve any independence issues prior to starting at EY.

**Investment Advisors/Money Managers** use this site to determine which investments are permitted for professionals and their immediate family members. Managers, senior managers, executive directors and partners/principals at EY are required to report their security holdings into the Independence Monitoring System. Provide the GIS security ID or security codes/ticker information on security purchases to the professional so they can update the Independence Monitoring System within 10 days of purchase.

**A spouse/spousal equivalent** uses this site to determine whether financial relationships are permitted. Financial relationships of immediate family members (spouse/spousal equivalent/dependents) are considered direct financial interests of the EY professional and are subject to the firm’s Independence Policies. **Be sure to confirm independence compliance with the EY professional.** Managers, senior managers, executive directors and partners/principals at EY are required to report their security holdings in the Independence Monitoring System within 10 days of purchase.

**Restriction Indicators** Icons that illustrate whether the security is:

* Proscribed/restricted (Restricted for client-serving professionals, their spouse/spousal equivalent & dependents)
*  Proscribed/restricted for category 1, 2, 3 & 4 - All ranks who are part of the audit engagement team (providing any amount of time), partners/principals, associate partners, partner equivalents who are always a covered person, in the chain of command or located in the office in which the lead audit partner or partners, executive directors, senior managers, managers or equivalent ranks who are providing 10 or more hours of non-audit services during a particular audit client's fiscal year.
*  Proscribed/restricted for category 1, 2 & 4 - All ranks who are part of the audit engagement team, providing any amount of time or partners/principals, associate partners, partner equivalents who are always a covered person, in the chain of command or located in the office in which the lead audit partner is located should verify that they are not a covered person related to the entity or its affiliates before investing in these types of securities.
*  Proscribed/restricted category 1 & 2 - All ranks who are part of the audit engagement team, providing any amount of time or Partners /principals, associate partners, partner equivalents who are always covered person, chain of command should verify that they are not a covered person related to the entity or its affiliates before investing in these types of securities
*  Proscribed/restricted for category 1 – All ranks who are part of the audit engagement team, providing any amount of time should verify that they are not a covered person related to the entity or its affiliates before investing in these types of securities.
*  Restricted for Specific Countries – restricted for certain countries, please utilize “View Personalized Independence Restrictions” to determine personal impact.
*  Requires Research - submit a question to [Ask Independence](https://askindependence.ey.com/). Provide the CUSIP/ISIN number and security name of the security that you would like to have researched. The security will be researched to determine whether it is permitted or restricted. You should receive a reply email in approximately 2-3 business days.
*  Under independence review - Security/entity is in the process of undergoing review that may result in a change in restriction (acquiring or losing restriction) as a result of markup addition or removal (e.g., auditor change, business acquisitions or divestitures, change in affiliates). No action is required until the review is complete.
*  Currently undergoing Public Company Independence Procedures (PICP) and may be proscribed/restricted in the near future.
*  Permitted/allowable
*  Normal Terms Conditions

**If no search results are found, contact [Ask Independence - https://askindependence.ey.com/](https://askindependence.ey.com/)**