



ATTACHMENT A

HURON COUNTY LAND REUTILIZATION CORPORATION

COMPREHENSIVE ETHICS POLICY

CHAPTER 1

CONFLICTS OF INTEREST POLICY

Section 1 – Purpose

The purpose of this conflicts of interest policy (this “Policy”) is to protect the interests of the Huron County Land Reutilization Corporation (the “HCLRC”) when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an Officer, Director, or employee of the HCLRC. A transaction or arrangement that provides a public benefit to a political subdivision with which an Officer, Director, or employee is associated either by election or employment is not in and of itself a conflict of interest under this Policy. This policy is intended to supplement but not replace the provisions of the Ohio Revised Code where such provisions are determined by a court or other body with jurisdiction over such matters to be applicable to the Officers, Directors, or employees of the HCLRC, including the following provisions set forth in the first paragraph of Section 1724.10(B)(1) thereof which address the issue of not only conflicts of interest but also the incompatibility of public offices:

“...Membership on the governing board of a community improvement corporation does not constitute the holding of a public office or employment within the meaning of Sections 731.02 and 731.12 of the Ohio Revised Code or any other section of the Ohio Revised Code. ...Membership on such governing boards shall not constitute an interest, either direct or indirect, in a contract of expenditure of money by any municipal corporation, township, county, or other political subdivision. No member of such governing boards shall be disqualified from holding any public office or employment, nor shall such member forfeit any

such office or employment, by reason of membership on the governing body of a community improvement corporation notwithstanding any law to the contrary”.

Section 2 – Prohibited Interests and Actions of Directors, Officers, and Employees; Permitted Interests; Exceptions

Section 2.1 – Prohibited Interests in Corporation Contracts

No Director, Officer, or Employee of the HCLRC shall knowingly do any of the following:

- (A) Authorize, or employ the authority or influence of such person’s office to secure authorization of any contract with HCLRC in which such person, a member of such person’s family, or any of such person’s business associates has an interest;
- (B) Authorize, or employ the authority or influence of such person’s office to secure the investment of funds in any share, bond, mortgage, or other security, with respect to which such person, a member of such person’s family, or any of such person’s business associates either has an interest, is an underwriter, or receives any brokerage, origination, or servicing fees; during such person’s term of office with the HCLRC or within one (1) year thereafter, occupy any position of profit in the prosecution of a contract authorized by such person or by the Board of Directors of HCLRC of which such person was a member at the time of authorization, unless the contract was let by informal competitive bidding to the lowest and best bidder; Have an interest in the profits or benefits of a contract entered into by or for the use of the HCLRC.
- (C) Have in interest in the profits or benefits of a contract this is not let by informal competitive bidding if not required under the HCLRC’s Informal Competitive Bidding Policy and that involves more than one hundred fifty dollars (\$150).

Section 2.2 – Permitted Interests

In the absence of bribery or a purpose to defraud, a Director, Officer, or employee of the HCLRC, member of such person’s family, or any of such person’s business associates shall not be considered as having an interest in a HCLRC contract or the investment of its funds, if all of the following apply:

- (A) The interest of that person is limited to owning or controlling shares of the corporation, or being a creditor of the corporation or other organization, that is the contractor on the contract involved, or that is the issuer of the security in which the funds are invested;
- (B) The shares owned or controlled by that person do not exceed five percent (5%) of the outstanding share of the corporation, and the amount due to that person as

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creditor does not exceed five percent (5%) of the total indebtedness of the corporation or other organization;

- (C) That person, prior to the time the contract is entered into, files with the Board of Directors of the HCLRC, an affidavit giving that person's exact status in connection with the corporation or other organization.

Section 2.3 – Exceptions

Section 2.1 hereof does not apply to a HCLRC contract in which a Director, Officer, or employee of the HCLRC, a member of such person's family, or one of such person's business associates has an interest, when all of the following apply:

- (A) The subject of the contract is necessary supplies or services for the HCLRC;
- (B) The supplies or services are unobtainable elsewhere for the same or lower cost, or are being furnished to the HCLRC as part of a continuing course of dealing established prior to such person's becoming associated with the HCLRC;
- (C) The treatment accorded the HCLRC is either preferential to or the same as that accorded other customers or clients of the corporation or other organization in similar transactions;
- (D) The entire transaction is conducted at arm's length, with full knowledge by HCLRC of the interest of such person, the member of such person's family, or business associate, and such person takes no part in the deliberations or decision of the HCLRC with respect to the contract.

Section 2.4 – Soliciting or Accepting Improper Compensation

No Director, Officer, or employee of the HCLRC shall knowingly solicit or accept, and no person shall knowingly promise to give to a Director, Officer, or employee of the HCLRC, either of the following:

- (A) Any compensation, other than as allowable by divisions (G), (H), and (I) of Section 102.03 of the Ohio Revised Code or other provision of law, to perform such person's official duties, to perform any other act or service in such person's official capacity, for the general performance of the duties of such person's office or employment, or as a supplement to such person's compensation;
- (B) Additional or greater fees or costs than are allowed by rule or regulation of the HCLRC to perform such person's official duties.

Section 2.5 – Soliciting or Accepting Anything of Value in Exchange for Certain Consideration

No Director, Officer, or employee of the HCLRC for such person's own personal or business use, and no person for the person's own personal or business use or for the

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personal or business use of a Director, Officer, or employee of the HCLRC, shall solicit or accept anything of value in consideration of either of the following:

- (A) Appointing or securing, maintaining, or renewing the appointment of any person to any office, employment, or agency with the HCLRC.
- (B) Preferring, or maintaining the status of, any Director, Officer, or employee of the HCLRC with respect to compensation, duties, placement, location, promotion, or other material aspects of employment or service.

Section 2.6 – Soliciting or Accepting Political Contributions in Exchange for Certain Consideration

No person for the benefit of a political party, campaign committee, legislative campaign fund, political action committee, or political contributing entity shall coerce any contribution in consideration of either of the following:

- (A) Appointing or securing, maintaining, or renewing the appointment of any person to any office, employment, or agency with the HCLRC.
- (B) Preferring, or maintaining the status of, any employee of the HCLRC with respect to compensation, duties, placement, location, promotion, or other material aspects of employment.

Section 2.7 – Definitions

Words and terms with initial capital letters used as defined words and terms in the Policy and not otherwise defined herein shall have the same meaning given such words and terms in the Code of Regulations of the HCLRC. For purposes of this Section, “family” means any member of the immediate family of a Director, Officer, or employee of the HCLRC.

Section 3 – Procedures

Section 3.1 - Duty to Disclose

Notwithstanding the provisions of Section 2.2(C) hereof, in connection with any actual or potential conflict of interest, a Director, Officer, or employee of the HCLRC must disclose in writing the existence and nature of his or her interest to the Board of Directors prior to its formal approval of the proposed transaction or contractual arrangement.

Section 3.2 – Duty to Recuse Oneself from Vote or Selection Process

A Director or Officer that has, or will have, an interest in a transaction or contractual arrangement of the HCLRC with an entity or individual that is prohibited under this Policy must recuse himself or herself from (a) participating in discussions whose immediate purpose is to make a recommendation or selection of the entity or individual with whom the HCLRC will enter into a transaction or arrangement, (b) voting on the

matter or (c) both, as applicable. A Director that is either elected or employed by a political subdivision with which the HCLRC is considering entering into a transaction or other arrangement must recuse himself or herself from voting on the matter involving the political subdivision. A Director or Officer who complies with the provisions of this Section 3.2 shall not be deemed to have an actual or potential conflict of interest.

Section 3.3 – Determining Whether a Prohibited Interest Exists

After disclosure of a potential prohibited interest under Section 3.1 of this Policy, the Director, Officer, or employee making such disclosure shall leave the Board of Directors' meeting while the Board discusses the nature of the interest and votes upon whether it believes such an interest constitutes or will constitute a prohibited interest if the HCLRC were to enter into a transaction or contractual arrangement with the entity or individual in respect of which the interested person has an interest and whether such person is not or will not be deemed to have a conflict of interest due to such person's compliance with the provisions of Section 3.2 hereof. If such person is a Director, the remaining Board of Directors shall decide if a conflict of interest exists.

Section 3.4 – Procedures for Addressing the Conflict of Interest

If, pursuant to Section 3.3, a prohibited interest is deemed to exist:

- (A) The Board of Directors shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement and may in its discretion request verbal advice or a written opinion of the Ohio Ethics Commission on the matter.
- (B) After exercising due diligence, the Board of Directors shall determine whether the HCLRC can obtain a more advantageous transaction or arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest.
- (C) If a more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, the Board of Directors shall determine by a majority vote of the disinterested Directors whether the transaction or arrangement is in the HCLRC's best interest and for its own benefit and whether the transaction is fair and reasonable to the HCLRC and shall make its decision as to whether to enter into the transaction or arrangement in conformity with such determination.

Section 3.5 – Violations of the Conflicts of Interest Policy

- (A) If the Board of Directors has reasonable cause to believe that a Director, Officer, or employee of the HCLRC has failed to disclose an actual or possible prohibited interest under this Policy, it shall inform such person of the basis for such belief and afford such person an opportunity to explain the alleged failure to disclose.

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- (B) If, after hearing the response of such person and making such further investigation as may be warranted in the circumstances, the Board of Directors determines that such person has, in fact, failed to disclose an actual or possible prohibited interest, it shall take the disciplinary and corrective action which it, in its sole discretion, determines to be appropriate in the circumstances, including, without limitation, compliance with division (A)(1) of the Ohio Revised Code Section 2721.22.

Section 4 – Records of Proceedings

With respect to any proceedings of the Board of Directors under this Policy, the minutes of the Board of Directors shall contain the following:

- (A) The names of the persons who disclosed or otherwise were found to have a potential or an actual prohibited interest under this Policy, the nature of the interest, any action taken to determine whether the interest is a prohibited interest hereunder or under any law of the State of Ohio, and the Board of Directors' decision as to whether a prohibited interest in fact existed.
- (B) The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection therewith.

Section 5 – Annual Statements

Each Director, Officer, and employee of the HCLRC shall annually sign a statement which affirms that such person:

- (A) Has received a copy of the most recent Conflicts of Interest Policy;
- (B) Has read and understands this Policy;
- (C) Has agreed to comply with this Policy; and
- (D) Understands that (i) the HCLRC is an organization performing essential governmental functions authorized in Chapters 1724 and 5722 of the Ohio Revised Code, among others, and, therefore, pursuant to Section 115(1) of the Code, it and its income is exempt from federal income taxation and (ii) in order to maintain its federal tax exemption, it must engage primarily in activities which accomplish one or more of its governmental purposes.

Section 6 – Periodic Reviews

To ensure that the HCLRC operates in a manner consistent with its governmental purposes and that it does not engage in activities that could jeopardize its status as an organization performing essential governmental functions and claiming exemption from federal income taxation pursuant to Section 115(1) of the Code, periodic reviews shall

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be conducted. The periodic reviews shall, at the minimum, include the following subjects:

- (A) Whether compensation arrangements and benefits are reasonable and are the result of arm's-length bargaining; and
- (B) Whether partnership and joint venture arrangements and arrangements with management service organizations, including property management organizations, if any, conform to written policies of the HCLRC, are properly recorded with the HCLRC, reflect reasonable payments for goods and services, further the HCLRC's governmental purposes and do not result in personal inurement or impermissible private benefit.

Section 7 – Use of Outside Experts

In conducting the periodic review provided for in Section 6, the HCLRC may, but need not, use outside advisors or experts. If outside experts are used their use shall not relieve the Board of Directors of its responsibility for ensuring that periodic reviews are conducted.

Section 8 – Amendments

This Policy may be amended from time to time by the Directors of the HCLRC acting in accordance with the provisions governing amendments to this Policy set forth in the Code of Regulations.

CHAPTER 2

GENERAL ETHICS POLICY

Section 1 – Statement of Intent and Purpose

Notwithstanding that Ohio Revised Code Section 1724.10(B)(1) expressly provides that “*Membership on the governing board of a community improvement corporation does not constitute the holding of a public office or employment within the meaning of sections 731.02 and 731.12 of the Revised Code or any other section of the Revised Code*” and the conclusion of the Memorandum of Law in Chapter 1 of this Ethics and Conflict of Interest Policy regarding the application of Ohio Revised Code Chapter 102 to the Directors, Officers, and employees of the Huron County Land Reutilization Corporation (the “HCLRC”), the Directors of the HCLRC, acknowledge the quasi-public nature of the HCLRC and the public purpose for which it is organized, desire to voluntarily adopt, along with the Conflicts of Interest Policy set forth in Chapter 1 hereof, an ethics policy (this “General Ethics Policy”) that is to govern actions of the HCLRC’s Directors, Officers, and employees in order to protect the public trust inherent in the HCLRC’s statutory purposes.

Section 2 – Definitions

As used in this Chapter 2:

- (A) “*Income*” includes gross income as defined and used in the “Internal Revenue Code of 1986,” 100 Stat. 2085, 26 U.S.C. 1, as amended, and interest and dividends on obligations or securities of any state or of any political subdivision or authority of any state or political subdivision.

- (B) “*Anything of material value*” means to the extent material, as defined below:
 - (1) Money, bank bills or notes, United States treasury notes, and other bills, bonds, or notes issued by lawful authority and intended to pass and circulate as money;
 - (2) Goods and chattels;
 - (3) Promissory notes, bills of exchange, orders, drafts, warrants, checks, or bonds given for the payment of money.
 - (4) Receipts given for the payment of money or other property;
 - (5) Rights in action;
 - (6) Things which savor of the realty and are, at the time they are taken, a part of the freehold, whether they are of the substance or produce thereof or affixed thereto, although there may be no interval between the severing and taking away;
 - (7) Any interest in realty, including fee simple and partial interests, present and future, contingent or vested interest, beneficial interests, leasehold interests, and any other interest in realty;
 - (8) Any promise of future employment;

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- (9) Every other thing of value, including, but not limited to, a contribution as defined in section 3517.01 of the Ohio Revised Code.

For the purposes of this definition, “material” when used in the phrase “anything of material value” means anything with a monetary value in excess of \$400.

- (C) “*Honorarium*” means any payment made in consideration for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or similar gathering. “Honorarium” does not include ceremonial gifts or awards that have insignificant monetary value; unsolicited gifts of nominal value or trivial items of informational value; or income received from any person for personal services rendered to that person that are customarily provided in connection with the practice of a bona fide business and that are wholly unrelated to the duties or services provided to the HCLRC by the recipient in connection with such person’s employment by the HCLRC.

Section 3 – Prohibited Representations

A present or former Director, Officer, or employee of the HCLRC is not permitted, during employment with or service to the HCLRC or for a period of one (1) year thereafter to represent a client or act in a representative capacity for any person on any matter in which the Director, Officer, or employee personally participated as a Director, Officer, or employee of the HCLRC through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or other substantial exercise of administrative discretion.

Section 4 – Maintaining Confidentiality of Information

A present and former Director, Officer, or employee of the HCLRC is prohibited from disclosing or using, without appropriate authorization, any information acquired by such Director, Officer, or employee in the course of the Director’s, Officer’s, or employee’s official duties for the HCLRC that is confidential because of statutory provisions, or that has been clearly designated to the Director, Officer, or employee as confidential when the confidential designation is warranted because of the status of the proceedings or the circumstances under which the information was received and preserving its confidentiality is necessary to the proper conduct of the HCLRC’s business.

Section 5 – Prohibited Use of Authority or Influence of Corporate Office or Employment

A Director, Officer, or employee of the HCLRC is prohibited from using or authorizing the use of the authority or influence of his or her office or employment to secure anything of value or the promise or offer of anything of value that is of such a character as to manifest a substantial and improper influence upon the Director, Officer, or employee with respect to that person’s duties.

Section 6 – Prohibition upon Solicitation or Acceptance of Things of Material Value

A Director, Officer, or employee of the HCLRC is prohibited from soliciting or accepting anything of a material value that is of such a character as to manifest a substantial and improper influence upon the Director, Officer, or employee with respect to that person's duties. For purposes of this Section, there is a rebuttable presumption that the acceptance of meals or casual entertainment from the same person or entity that does not exceed \$400 during a calendar year does not manifest a substantial and improper influence upon a Director, Officer, or employee with respect to that person's duties. Reimbursement by a third party of the actual travel expenses of a Director, Officer, or employee of the HCLRC when traveling on or for official business of the HCLRC for the purpose of making a speech or presentation about the HCLRC or for educational or other charitable purposes shall be excluded from the application of this section.

This Section shall not be construed as prohibiting a Director, Officer, or employee of the HCLRC from accepting an Honorarium or a payment in reimbursement of travel, meal, and lodging expenses for a speech or presentation about or related to the work of the HCLRC if voluntarily offered by a third party. Any such Honorarium shall be deposited into the general fund of the HCLRC immediately upon the Director's, Officer's, or employee's return to the HCLRC. Payment in reimbursement of travel, meals, and lodging expense for such speech or presentation may be retained by the Director, Officer, or employee so long as no reimbursement for the same expenses is sought from the HCLRC.

This Section shall not be construed as prohibiting a Director, Officer, or employee of the HCLRC from accepting an Honorarium, payment for engagement as a professional consultant or payment in reimbursement of travel, meal, and lodging expenses for a speech or presentation which is not directly about or related to the work of the HCLRC, provided that the Honorarium, payment for professional consulting services or expenses, or any combination thereof, were paid in recognition of demonstrable business, professional, or esthetic interests of the Director, Officer, or employee that exist apart from the HCLRC and such person's employment by or service to the HCLRC and that payment for professional consulting services or expenses, or any combination thereof, were not paid by any person or other entity, or by any representative or association of those persons or entities, that is doing business with, or seeking to do business with, the HCLRC.

This Section shall not be construed as prohibiting a Director, Officer, or employee of the HCLRC from accepting a paid consulting engagement arising out of such Director's, Officer's, or employee's expertise about the functions of or his or her relationship to the HCLRC and its mission if the payment for such an engagement is deposited into the general fund of the HCLRC and if the acceptance of such an engagement will not adversely affect that person's duties with the HCLRC.

Section 7 – Requesting a Ruling from the Board of Directors

Any Director, Officer, or employee of the HCLRC who is unsure of such person's compliance with the provisions of this Chapter in connection with an individual situation that arises may request that the Board of Directors of the HCLRC, in its absolute discretion, rule on the potential activity's compliance with the letter and spirit of this Chapter. If a Director of the HCLRC avails himself or herself of the provisions of this Section 7, such Director shall not participate in any discussions among the other Directors or in their ruling related to such Director's requested ruling, except as the other Directors may request in connection with learning or clarification of the factual matters related to such situation.

Section 8 – Violations of the General Ethics Policy

If the Board of Directors has reasonable cause to believe that a Director, Officer, or employee of the HCLRC has violated this General Ethics Policy, it shall inform the Director, Officer, or employee of the basis for such belief and afford such person an opportunity to explain the alleged violation.

If, after hearing the response of such person and making such further investigation as may be warranted in the circumstance, the Board of Directors determines that such Director, Officer, or employee has, in fact, violated this General Ethics Policy, it shall take appropriate disciplinary and corrective action, including, but not limited to, ordering mandatory withdrawal from the Board of Directors, if such person is a Director, or suspension or termination of employment, if the person is an Officer or employee.

Nothing in this Section 8 or anywhere else in Chapters 1, 2, or 3 of this Comprehensive Ethics Policy shall be construed as prohibiting the Board of Directors of the HCLRC from turning over evidence of an alleged violation of any provision of this Comprehensive Ethics Policy to local law enforcement authorities if it believes that the alleged violation may rise to the level of a criminal offense.

CHAPTER 3

DISCLOSURE OF POLITICAL CONTRIBUTIONS TO HCLRC DIRECTORS THAT ARE ELECTED OFFICIALS

Section 1 – Statement of Intent and Purpose

Notwithstanding the bona fide belief of each Director of the HCLRC who is an elected official of a political subdivision within the County, as those terms are used in Ohio law (each an “Affected Director”), that the HCLRC is not subject to the provisions of Ohio Revised Code Sections 3517.13(I) and (J), the Affected Directors acknowledge that disclosure by a potential person or entity that is seeking to contract with the HCLRC for the sale of goods or services of any political contributions made to any such Affected Director provides such Affected Director with the opportunity to recuse himself or herself from voting on the award of the related contract, thereby avoiding even an appearance of a prohibited conflict of interest. Therefore, the following policy regarding the disclosure of political contribution to any Affective Director is hereby adopted.

Section 2 – Submission of Contribution Disclosure Form with Bids

In connection with the solicitation of bids, whether formally or informally, by the HCLRC, the HCLRC shall include as a part of each bid package delivered to a prospective bidder a contribution disclosure form substantially in the form of Attachment A to this Chapter 3 (the “Contribution Disclosure Form”). All prospective bidders shall include a completed Contribution Disclosure Form with their respective bids for a contract to supply the goods or services for which bids were solicited. Any bid received from a bidder which does not include a fully completed Contribution Disclosure Form shall automatically be returned as “incomplete” and not considered in connection with the award of the contract for the goods or services.

Section 3 – Delivery of Contribution Disclosure Form to Affected Directors

A copy of each Contribution Disclosure Form shall be delivered to the Affected Director as soon as possible after the receipt thereof in a bid package.

Section 4 – Use of Information in Contribution Disclosure Form

Each Affected Director shall use the information in the Contribution Disclosure Form to determine whether or not to recuse himself or herself from voting on the award of a contract to a person or entity that submitted the Contribution Disclosure Form. If the award of a contract is not subject to approval by the Board of Directors under the HCLRC’s Board-approved policy for awarding contracts, neither the Affected Director nor the Executive Director or any Officer of the HCLRC shall use the information in such Form to influence the awarding of the contract by the Executive Director or other Officer of the HCLRC, so long as such award is in compliance with the HCLRC’s Board-approved policy for awarding contracts.

ATTACHMENT A-1

CONTRIBUTION DISCLOSURE FORM

This statement properly executed and containing all required information must be completed. **IF YOU FAIL TO COMPLY, YOUR PROPOSAL WILL NOT BE CONSIDERED.**

Entity Name:

Entity's Mailing Address:

COMPLETE SECTION I, II, OR III BELOW, WHICHEVER IS APPROPRIATE, AND SECTION IV.

NOTE: For the purposes of this Statement, the members of the Board of Directors of the Huron County Land Reutilization Corporation (HCLRC) includes:

- (a) As to statutorily-appointed Directors**
 - 1. Kathleen Schaffer, Treasurer – Huron County
 - 2. Joe Hintz, Commissioner – Huron County
 - 3. Bruce “Skip” Wilde, Commissioner – Huron County
- (b) As to the municipal-representative Director**
 - 1. Mitch Loughton, City of Norwalk
- (c) As to appointed Directors**
 - 1. Richard Wiles, Township Trustee
 - 2. Justin Ewell, Realtor
 - 3. Shawn Pickworth, Village Administrator – New London
 - 4. Tim Pelang, Willard
 - 5. Dave Weisenberger, Tusing Construction

SECTION I. TO BE COMPLETED BY NON-PROFIT CORPORATION AND GOVERNMENTAL ENTITIES

If you are recognized by the IRS as a non-profit corporation or are a governmental entity, mark the appropriate designation below and proceed to the indicated section(s).

_____ NON-PROFIT CORPORATION **GO TO SECTIONS III AND IV**

_____ GOVERNMENTAL ENTITY **GO TO SECTION IV**

SECTION II. TO BE COMPLETED BY INDIVIDUALS, SOLE PROPRIETORSHIPS, PARTNERSHIPS, INCORPORATED PROFESSIONAL ASSOCIATIONS, UNINCORPORATED ASSOCIATIONS, ESTATES, TRUSTS, AND JOINT VENTURES

The above-named entity is a (Please mark appropriate designation):

- | | |
|--|--|
| <p>_____ SOLE PROPRIETORSHIP</p> <p>_____ INCORPORATED PROFESSIONAL ASSOCIATION</p> <p>_____ UNINCORPORATED ASSOCIATION</p> <p>_____ LIMITED LIABILITY COMPANY</p> | <p>_____ TRUST</p> <p>_____ ESTATE</p> <p>_____ PARTNERSHIP</p> <p>_____ JOINT VENTURE</p> |
|--|--|

For purposes of Section II, a **“Principal”** means an individual, an owner, a partner, a shareholder, a member, an administrator, an executive or trustee connected with the above-named entity, or the spouse of any such person.

Listed in the immediately following table are the names of EACH OF THE PRINCIPALS of the above-named entity who made one or more contributions to the named member of the Board of Directors or to that member’s campaign committee, together with the total amount of the contributions, if the contributions totaled either (i) individually in excess of \$1,000 during the twenty-four (24) months immediately preceding the date of this Contribution Disclosure Form or (ii) when added to the contributions of all other principals, in excess of \$2,000 during the twenty-four (24) months immediately preceding the date of this Contribution Disclosure Form.

Name of Principal Making contribution	Name of Director Receiving contribution	Amount of Contribution

(Add additional sheet if necessary.)

GO TO SECTION IV

SECTION III. TO BE COMPLETED BY NON-PROFIT AND FOR-PROFIT CORPORATIONS AND BUSINESS TRUSTS

_____ NON-PROFIT CORPORATION _____ FOR-PROFIT CORPORATION
 _____ BUSINESS TRUST (OTHER THAN INCORPORATED PROFESSIONAL ASSOCIATIONS)

For the purposes of Section III, a **“Principal”** means an individual or an entity owning more than 20% of the corporation or business trust or the spouse of any such individual.

Listed in the immediately following table are the names of EACH OF THE PRINCIPALS of the above-named entity who made one or more contributions to the named member of the Board of Directors or to that member’s campaign committee, together with the total amount of the contributions, if the contributions totaled either (i) individually in excess of \$1,000 during the twenty-four (24) months immediately preceding the date of this Contribution Disclosure Form or (ii) when added to the contributions of all other principals, in excess of \$2,000 during the twenty-four (24) months immediately preceding the date of this Contribution Disclosure Form.

Name of Principal Making contribution	Name of Director Receiving contribution	Amount of Contribution

(Add additional sheet if necessary.)

GO TO SECTION IV

SECTION IV. TO BE COMPLETED BY ALL ENTITIES!

I do hereby state that I have legal authority to complete this statement on behalf of the above-named entity and to the best of my knowledge and belief the answers herein are true and complete.

Print Name: _____

Print Title: _____

Signature: _____

Date: _____

Telephone No: _____
(Area Code)

STATE OF _____)
SS:

COUNTY OF _____)

Before me, a Notary Public in and for said County and State, personally appeared on this ____ day of _____, 20____ the above-named _____, who acknowledge that (he/she) did sign the foregoing statement and that the same is (his/her) free act deed, personally and as duly authorized representative of _____, and the free act and deed of the entity on whose behalf (he/she) signed.

Notary Public: _____

CHAPTER 4

WHISTLEBLOWER POLICY

Section 1 – Statement of Intent and Purpose

It is the intent of the Directors, Officers, and employees of the HCLRC to adhere to and observe high standards of business and personal ethics in the conduct of their duties and responsibilities on behalf of the HCLRC. As Directors, Officers, and employees representing the HCLRC, each acknowledges and believes that it is necessary to practice honesty and integrity in fulfilling his/her responsibilities to the HCLRC and to comply with all applicable laws and regulations. This Chapter 4 which is referred to herein as the “Whistleblower Policy” is adopted in the furtherance of this acknowledgment and belief.

Section 2 – Reporting Responsibility

It is the responsibility of all Directors, Officers, and employees to report suspected violations of this Ethics Policy in accordance with the provisions of this Whistleblower Policy. Notwithstanding the foregoing, except in a case where the applicable general law requires the reporting of suspected criminal actions directly related to the HCLRC, its assets or its Directors, Officers, or employees, no Director, Officer, or employee shall be subject to discipline, including, but not limited to, termination, for not reporting a suspected violation of this Ethics Policy if the Director, Officer, or employee in good faith did not reasonable suspect that a violation occurred or if the Director, Officer, or employee concluded in good faith that no violation occurred.

Section 3 – No Retaliation

No Director, Officer, or employee who in good faith reports a suspected violation of this Ethics Policy shall suffer harassment, retaliation, or adverse employment consequence. An employee who retaliates against someone who has reported a suspected violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the HCLRC prior to seeking resolution of such concerns outside the HCLRC.

Section 4 – Corporation’s Open-Door Policy; Addressing Employee’s Concerns, Suggestions or Complaints; Reporting Suspected Violations of Ethics Policy

The HCLRC shall have an open-door policy and does hereby declare the following to be its open-door policy: each Officer and employee is encouraged to share his/her questions, concerns, suggestions, or complaints with someone who can address them properly whether such concerns, suggestions, or complaints rise to the level a suspected violation of the HCLRC’s Ethics Policy or not. In most cases, the person or persons to whom the Officer or employee most immediately reports is in the best position to address an area of concern,

including such a suspected violation of the HCLRC's Ethics Policy. However, if any Officer or employee believes in good faith that he/she cannot be candid and open about an area of concern or suspected violation of the Ethics Policy with the person or persons to whom the Officer or employee most immediately reports or is not satisfied with such response, the Officer or employee is encouraged to speak with any Board Member of the HCLRC. Each Officer or other employee to whom a suspected ethics violation is reported shall report such suspected ethics violation to any Board Member, who has specific and exclusive responsibility to investigate all reported suspected violations. In the case of suspected fraud, or if an Officer or employee is not satisfied or is uncomfortable with following the HCLRC's open door policy, individuals are encouraged to contact any Board Member directly.

Section 6 – Acting in Good Faith

Any Officer or employee filing a complaint concerning a suspected violation of this Ethics Policy must be acting in good faith and have reasonable grounds for believing the information disclosed would constitute a violation. Any allegation of a suspected violation of this Ethics Policy that after investigation is proven to be unsubstantiated and is proven to have been made maliciously or to knowingly be false shall be considered a serious offense subject to appropriate disciplinary measures. Notwithstanding the foregoing, an Officer or employee prior to formally filing such a complaint may seek counsel from his/her supervisor, from the President or any Board Member about the evidence leading such person to suspect that a violation of this Ethics Policy may have occurred and whether such evidence would warrant filing a formal complaint. If after such counsel both the person seeking such counsel and the Officer or employee providing such counsel believe that the evidence is sufficient to warrant filing a formal complaint, the Officer or employee filing of such a complaint shall be presumed to be acting in good faith. All information submitted or discussed while seeking such counsel shall be kept confidential and shall not be disclosed unless a formal complaint is thereafter filed, and then only to the extent permitted under Section 7 hereof.

Section 7 – Confidentiality

A suspected violation of this Ethics Policy may be submitted on a confidential basis by the complainant or may be submitted anonymously. A submission of such a suspected violation will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Section 8 – Handling of Reported Violations

Upon the filing of a formal complaint concerning a suspected violation of this Ethics Policy in any case other than an anonymous complaint, any Board Member will notify the sender and acknowledge receipt of the suspected violation within five (5) business days of receipt of the complaint. All reports will be promptly investigated, and appropriate correction action will be taken if warranted by the investigation.

HURON COUNTY LAND REUTILIZATION CORPORATION – COMPREHENSIVE ETHICS POLICY

Adopted August 3, 2018 by the Huron County Land Reutilization Corporation Board of Directors

Revised May 27, 2021