

**SIENNA PREMIER AQUATICS, INC.
WHISTLEBLOWER PROTECTION POLICY**

**ARTICLE I
PURPOSE OF POLICY**

Sienna Premier Aquatics, Inc. (the “Organization”), is committed to observing high standards of business and personal ethics in the conduct of its activities. Accordingly, the Organization expects all directors, officers, committee members, employees, and volunteers to conduct their Organization activities in accordance with the letter, spirit, and intent of all applicable laws and Organization policies and to not do anything that is illegal, dishonest, unethical, or a violation of the Organization’s policies. The purpose of this *Whistleblower Protection Policy* is to provide a mechanism to report unprofessional, unethical, or illegal conduct.

**ARTICLE II
POLICY**

No one acting for or on behalf of the Organization shall take any action he or she knows or reasonably should know violates any applicable laws or Organization policies. It is the responsibility of all Organization directors, officers, committee members, employees, and volunteers to report good-faith concerns regarding any violation of laws or Organization policies.

For purposes of this *Policy*, any reference to “laws” is intended to include any and all applicable governmental laws, regulations, rules, or orders, and any reference to “Organization policies” is intended to include any and all codes and policies adopted by the Organization’s Board of Directors including, but not limited to, any conflict of interest policy.

Examples of violations that this *Policy* is intended to address include, but are not limited to, actual or suspected:

1. Falsification of the Organization’s financial reports, tax returns, or other financial documents;
2. Non-compliance with the Organization’s legal responsibilities;
3. Misappropriation of funds or theft of property of the Organization; or
4. Material violations of any Organization policy.

To the extent that any provisions of this *Policy* contradict the laws of an applicable jurisdiction, the laws of the jurisdiction shall govern in that jurisdiction, and the remaining provisions of this *Policy* shall remain unaffected. Any person who believes that the laws of a jurisdiction conflict with this *Policy* shall immediately inform the Compliance Official (described below), who shall provide advice, in consultation with legal counsel if necessary, on how to comply with the law and *Policy*.

ARTICLE III PROCEDURE

This section of this *Policy* explains how any director, officer, committee member, employee, or volunteer can report to the Organization on a confidential and, if desired, anonymous basis, any concern regarding any violation of laws or Organization policies. It also explains the Organization's procedures for receiving and resolving complaints or reports it receives regarding these types of improper conduct. In addition, this section is intended to make it clear that the Organization will not retaliate against anyone who in good faith reports any improper conduct or properly participates in any resulting investigation.

1. Reporting individuals should submit their claims of improper conduct to the Compliance Official.
2. Anyone reporting a claim must act in good faith and have reasonable grounds for believing the information disclosed indicates a violation of law or an Organization policy, or a questionable or improper accounting or auditing matter. Reporting individuals will not be expected to prove the truth of their allegations, but they must be prepared to demonstrate that the allegations were made in good faith and to submit whatever evidence they have available to support the allegations in the report.
3. Anonymous reports, while always accepted, impact the Organization's ability to conduct a thorough investigation. Thus, reporting individuals are encouraged to disclose their identity in their report to increase the credibility of their report and to enable thorough investigation of the matter. Reporting individuals are encouraged to include as much detail as possible in their reports, as the Organization might not be able to fully investigate vague or generalized complaints.
4. It is the Organization's intent to encourage and enable anyone acting for or on behalf of the Organization to raise a claim within the Organization for investigation and appropriate action. Consequently, no one who, in good faith, reports a claim or cooperates in an investigation shall be subject to retaliation or, in the case of an employee, adverse employment consequences. Thus, for example, the Organization may not take any retaliatory employment action against an employee because the employee has in good faith: (1) disclosed, or threatened to disclose, to any appropriate governmental agency, under oath, in writing, an activity, policy, or practice of the Organization that is in violation of a law, rule, or regulation; (2) provided information to, or testified before, any appropriate governmental agency, person, or entity conducting an investigation, hearing, or inquiry into an alleged violation of a law, rule, or regulation by the Organization; or (3) objected to, or refused to participate in, any activity, policy, or practice of the Organization which is in violation of an applicable law, rule, or regulation. Moreover, an employee who retaliates against someone who has, in good faith, reported a claim or participated in an investigation, is subject to discipline up to and including termination of employment. A non-employee representative of the Organization who retaliates against an individual who has reported a claim in good faith is subject to discipline up to and including removal from all positions held with the Organization. Any Organization employee or other representative who believes in good faith that he or she has been the subject of harassment,

discrimination, adverse employment consequence, or other retaliation, or who is aware that such conduct has occurred with respect to another Organization employee or representative, shall immediately report such conduct to the Compliance Official.

5. The Compliance Official shall promptly initiate an investigation of the claim and shall control the scope and activities of the investigation.
6. All Organization employees and representatives are required to cooperate in the investigation of a claim, including providing access to data and devices used in the course of the Organization's operations.
7. In all cases, Organization employees or representatives who are implicated in a claim of a suspected violation shall not participate in the investigation, deliberation, or decision-making concerning the claim, except that an implicated individual may present information in his or her own defense.
8. Reports of claims and investigations will be kept confidential to the extent practicable consistent with the need to conduct an adequate investigation and, if warranted, implement corrective action. The details of a reporting individual's report, including his or her identity, may need to be shared with others in order to gather additional relevant information and complete a thorough investigation. The Compliance Official, however, shall take reasonable precautions to protect the identity of the reporting individual to the extent possible. Disclosure of reports of claims to individuals within the Organization who are not involved in the claim process or investigation will be viewed as a serious disciplinary offense and may result in discipline, up to and including termination of employment and removal from other positions held with the Organization.
9. Any unsubstantiated claims which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.
10. The Board of Directors as a whole (excluding any director who is under investigation as a result of the claim or otherwise may have a conflict of interest) shall review the reports and evidence gathered by the Compliance Officer and such other information, documents, and evidence as the Board of Directors determines appropriate, and may make findings of fact concerning a claim (including a retaliation claim), and shall have the authority to issue binding decisions on a claim and to determine appropriate corrective action and appropriate disciplinary action.
11. It is the expectation of the Board of Directors that all claims will be decided in a thorough but expedient manner. As a guideline, it is expected that claims will be resolved within a period of no more than sixty (60) calendar days.
12. The Compliance Official shall regularly report to the Board of Directors on the existence, status, and resolution of any claims submitted under this *Policy*, including the corrective actions taken (if any) and disciplinary actions taken (if any), and will additionally ensure that the Treasurer is timely and fully informed on compliance activity related to alleged accounting or financial improprieties, including but not limited to alleged violations of corporate accounting practices, internal controls, or auditing.

13. The Board of Directors may order such other or further investigation or corrective action as it determines appropriate under the circumstances.
14. The Compliance Official or the Board of Directors may consult with the Organization's legal counsel, if necessary, in the course of an investigation of a claim and the determination and implementation of any corrective action or disciplinary action.

ARTICLE IV COMPLIANCE OFFICIAL

The Compliance Official is responsible for investigating all whistleblowing reports submitted under this *Policy* and for protecting the reporting individual from retaliation. The Compliance Official will provide the reporting individual with an acknowledgement of the receipt of the report and shall notify the individual that investigation has occurred or is occurring, as appropriate under the circumstances. Any other communications with the reporting individual shall be made only as determined necessary and appropriate by the Compliance Official or the Board of Directors.

Except with respect to reports involving alleged violations by the Organization's President, the Organization's President is the "Compliance Official" for purposes of this *Policy*. As of this *Policy*'s publication date, the Organization's President is:

Grace Sobczak
President
Sienna Premier Aquatics, Inc.
6140 Highway 6
Missouri City, Texas 77459
grace.spaswimming@gmail.com

The identity and contact information of the current President can be found on the Organization's website, at <https://www.gomotionapp.com/team/stspa/page/system/coaches>.

For reports involving alleged violations committed by the Organization's President, the Organization's Vice President is the "Compliance Official" for purposes of this *Policy*. The identity and contact information of the current President can be found on the Organization's website, at <https://www.gomotionapp.com/team/stspa/page/system/coaches>.

For reports involving alleged violations committed together by the Organization's President and Vice President, or for any other circumstance in which the reporting individual believes the report will be disregarded or otherwise not fairly considered, the "Compliance Official" for purposes of receiving the initial report shall be any member of the Board of Directors to whom the reporting individual feels comfortable making the report. The identity and contact information of the current members of the Board of Directors can be found on the Organization's website, at <https://www.gomotionapp.com/team/stspa/page/system/coaches>. Any director who receives a report shall bring it to the attention of the Board of Directors (excluding any director who is implicated in the report or otherwise might have a conflict of interest). The disinterested members of the Board of Directors shall then appoint a person to serve as Compliance Official for purposes of the report.