Rotary Club of Chico Sunrise Foundation, “The Foundation”, annually requires each member of the Board of Trustees and key employee(s) to review the conflict of interest policy as adopted in the Corporate bylaws. In addition, these Trustees and key employee(s) are required to acknowledge by signature that they have read and understand the policy, are acting in accordance with the policy, and submit the following information as completely and accurately as possible.

The purpose of this questionnaire is to identify and document any information required to be reported to the IRS with respect to you, certain parties that are related to you and applicable transactions between either you or your related parties and The Foundation.

**Related or Interested Party Defined**. For purposes of these following questions, a related or interested party includes any of the following:

1. Your spouse, domestic partner, child (natural or adopted), ancestors and siblings, grandchildren, and great-grandchildren.
2. An entity more than 35% owned, either directly or indirectly, by you or a person listed in item 1.
3. An entity (other than another tax-exempt organization) for which you are serving (or served during the tax year in question) as a trustee, directory, officer or key employee.
4. A partnership for which you are a partner or member with a direct or indirect ownership interest (including ownership by a family member) in excess of 5%.
5. A professional corporation for which you are a shareholder with any ownership interest in excess of 5% (including ownership by a family member).

**Business Transaction Defined**. For purposes of the following questions, business transactions include (but are not limited to) contracts of sale, lease, license, and performance of services, whether initiated in the Foundation’s current tax year or ongoing from the prior year. Business transaction may also include new or ongoing joint ventures in which either the profits or capital interest of The Foundation and the interested person each exceeds 10%.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Yes | No |
| 1. | Have you or any of your related parties sold, leased, or licensed property to The Foundation, provided services to The Foundation, or contracted to engage in any of these transactions? |  |  |
| 2. | Have you or your related parties bought, leased, or licensed property from The Foundation or purchased services from The Foundation, or contracted to engage in any of these transactions? |  |  |
| 3. | Have you or any of your related parties had any direct or indirect interest in any other business transaction in the past year to which The Foundation was a party? |  |  |
| 4. | Have you or any of your related parties received from The Foundation grants or other assistance such as scholarships, fellowships, internships, prizes or awards (or any other provision of goods, services of use of facilities) regardless of amount, at any time during The Foundation’s tax year? |  |  |
| 5. | As a result of your relationship with The Foundation, have you or your related parties (directly or indirectly) received (or become entitled to receive) any personal benefits that were not insubstantial, the value of which exceeded any consideration paid to The Foundation? |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Yes | No |
| 6. | At any time during the tax year, did you have a familial relationship with any person on the List of current Trustees, Officers, and Key Employees (see Attachment 1)? |  |  |
| 7. | At any time during the year, were you employed by any person on the List of current Trustees, Officers, and Key Employees (see Attachment 1), or were you an employee of an entity for which any person on the attached list was a trustee, director, officer, key employee, or greater-than-35% owner? |  |  |
| 8. | Are you aware of any other relationships, arrangements, transactions, or matters that could create a conflict of interest or the appearance of conflict? |  |  |

For each question which you answer Yes, please complete Additional Disclosure Details Form.

Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annual Renewals:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Attachment 1  
Current Trustees, Officers, and Key Employees

Trustees:

Sean Isom

Dan Bay

Richard Powell

Dawit Zeleke

Carol Linscheid

Officers:

President: Sean Isom

Treasurer: Richard Powell

Secretary: Dan Bay

Key Employee(s):

None

Additional Disclosure Details Form

If you answered Yes to questions 1-5, please complete the following:

Question # \_\_\_\_\_\_\_\_

Names of the parties to the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Relationship between the parties and The Foundation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Dollar amount of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Description of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Was the payment by The Foundation based on the percentage of revenue \_\_\_\_\_\_\_\_\_\_

Question # \_\_\_\_\_\_\_\_

Names of the parties to the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Relationship between the parties and The Foundation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Dollar amount of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Description of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Was the payment by The Foundation based on the percentage of revenue \_\_\_\_\_\_\_\_\_\_

Question # \_\_\_\_\_\_\_\_

Names of the parties to the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Relationship between the parties and The Foundation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Dollar amount of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Description of the transaction\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Was the payment by The Foundation based on the percentage of revenue \_\_\_\_\_\_\_\_\_\_

If you answered Yes to questions 6-8, please complete the following:

Question # \_\_\_\_\_\_\_\_

Please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Question # \_\_\_\_\_\_\_\_

Please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Question # \_\_\_\_\_\_\_\_

Please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The Rotary Club of Chico Sunrise Foundation Board of Trustees adopts the following policy, approves its inclusion in The Foundation’s employee handbook, and directs the President and CEO to ensure that the policy is (1) provided to all employees and volunteers, and (2) included in the new employee orientation as well as training programs for employees and volunteers.

The Foundation is committed to compliance with all applicable laws, regulation and international conventions in all of its activities. The Foundation requires lawful and ethical behavior of its officers, Trustees and employees and expects high standards of business and personal ethics in the fulfillment of their duties and responsibilities.

**Reporting**. The purpose of this policy is to support The Foundation’s goal of legal compliance. The Foundation encourages its officers, Trustees, employees and volunteers to share their questions, concerns, suggestions or complaints with someone who can address them properly. It is the responsibility of all Trustees, officers and employees to report legal or ethics violations.

If any individual reasonably believes that a policy, practice or activity of the organization is in violation of the law, public policy or The Foundation bylaws, that individual will be protected from retaliation if he or she reports the alleged policy practice or activity to the CEO and/or Chairman of the Board and provides the CEO and/or Chairman of the Boards with reasonable opportunity to investigate and correct the alleged unlawful activity. If the reporting individual is uncomfortable speaking with or not satisfied with the response of the foregoing individuals, the issue may be reported to any member of the board of directors. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the parameters of an adequate investigation.

**Retaliation**. No director, officer, employee or volunteer who makes a good faith report under this policy (or who cooperates in inquiries or investigations) shall suffer harassment, retaliation, or adverse employment consequences. Any employee or volunteer who retaliates against an individual who has reported a violation in good faith is subject to discipline up to and including termination.

**Acting in Good Faith**. To be protected by this policy, individuals who report violations or suspected violations must be acting in good faith based on a reasonable belief that the reported information represents a valid policy or legal violation. Unsubstantiated allegations or reports that prove to have been made falsely or maliciously will be viewed as a serious disciplinary offense.

**Acknowledgment**. My signature below indicates my acknowledgment of receipt and understanding of this policy. In addition, I verify that I have been given the opportunity to ask questions about the policy.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Director/Employee/Volunteer Signature Date