

Rockport Music

Whistleblower Protection Policy

Rockport Music's Code of Ethics requires all staff, trustees, and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. All employees and representatives of Rockport Music must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations. Set forth below is Rockport Music's policy with respect to reporting good-faith concerns about the legality or propriety of Rockport Music actions or plans.

a. How To Report Concerns or Complaints

Employees and others may report suspected violations of its Code of Ethics or applicable law, or other wrongdoing or alleged retaliation by contacting the Chairman of the Rockport Music Board of Trustees and filing a written complaint.

For a complete investigation to be conducted, an employee should provide Rockport Music in writing with as much information as she/he can, sufficient to do a thorough investigation, including where and when the incident occurred, names and titles of the individuals involved, and as much other detail as one can provide.

b. Illustrative Types of Concerns

The following is a non-exhaustive list of the kinds of improprieties that should be reported:

- i. Supplying false or misleading information on Rockport Music's financial or other public documents, including its Form 990;
- ii. Providing false information to or withholding material information from Rockport Music's board or auditors;
- iii. Destroying, altering, mutilating, concealing, covering up, falsifying, or making a false entry in any records that may be connected to an official proceeding, in violation of federal or state law or regulations;
- iv. Altering, destroying, or concealing a document, or attempting to do so, with the intent to impair the document's availability for use in an official proceeding or

otherwise obstructing, influencing, or impeding any official proceeding, in violation of federal or state law or regulations;

- v. Embezzling, self-dealing, private inurement (i.e., Rockport Music earnings inuring to the benefit of a trustee, officer, or senior management) and private benefit (i.e., Rockport Music assets being used by anyone in the organization for personal gain or benefit);
- vi. Paying for services or goods that are not rendered or delivered;
- vii. Retaliation;
- viii. Using epithets, slurs, negative stereotyping, and threatening, intimidating, or hostile acts that relate to race, color, religion, gender, national origin, age, or disability;
- ix. Circulating or posting written or graphic material in the workplace that denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, gender, nationality, age, or disability;
- x. Discriminating against an employee or potential employee due to a person's race, color, religion, sex, sexual orientation, national origin, age, physical or mental impairment, transgender, or veteran status;
- xi. Violating Rockport Music's Conflict-of-Interest Policy, Equal Employment Opportunity Policy, or Non-Discrimination Policy;
- xii. Facilitating or concealing any of the above or similar actions.