

Tompkins County Area Development Whistleblower Policy

Adopted November 12, 2009

1. GENERAL

Tompkins County Area Development, Inc. (TCAD) expects its directors, employees, and other representatives to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of TCAD, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

This Whistleblower Protection Policy is intended to encourage and enable employees and others to raise serious concerns *within* TCAD prior to seeking resolution *outside* TCAD.

2. REPORTING RESPONSIBILITY

It is the responsibility of all directors and employees to report Wrongful Conduct in accordance with this Whistleblower Policy.

3. WRONGFUL CONDUCT

“Wrongful Conduct” is defined in this Whistleblower Policy to include: a serious violation of TCAD policy; a violation of applicable state and federal law; or the use of TCAD property, resources, or authority for personal gain or other non organization-related purpose except as provided under TCAD policy.

This definition of Wrongful Conduct is not intended to be an exclusive listing of the illegal or improper activity encompassed by the Whistleblower Policy. Rather, the Whistleblower Policy is intended to serve as a means of reporting all serious improprieties that potentially impact the integrity and effective operation of TCAD.

4. NO RETALIATION

No director or employee who in good faith reports Wrongful Conduct will suffer harassment, retaliation or adverse employment consequence. Any director or employee who retaliates against anyone who has reported Wrongful Conduct in good faith is subject to discipline up to and including termination of employment or removal from the board of directors, as applicable.

5. REPORTING WRONGFUL CONDUCT

TCAD encourages its directors and employees to share their questions, concerns, suggestions, or complaints with someone who can address them properly. Any director or employee may report Wrongful Conduct to the President or the Chair of the board of directors. If the Wrongful Conduct implicates one or both of the President or the Chair of the board of directors, or if the reporting individual is not comfortable speaking with or not satisfied with response of the foregoing individuals, the issue may be reported to any member

of the executive committee of the board of directors. The President, Chair of the board of directors, and all members of the executive committee of the board of directors to whom a report of Wrongful Conduct is made are required to immediately advise the full board of directors of such report of Wrongful Conduct in writing.

Contact information for reporting items under this policy are:

Michael B. Stamm, President
Tompkins County Area Development
401 E. State Street, Suite 402B
Ithaca, NY 14850
607-273-0005
michaels@tcad.org

Greg Hartz, Chair of Board of Directors
President & CEO, Tompkins Trust Company
PO Box 460
Ithaca, NY 14850
607-273-3210
ghartz@tompkinstrust.com

6. ACTING IN GOOD FAITH

Anyone filing a complaint of Wrongful Conduct must be acting in good faith and have reasonable grounds for believing the information disclosed indicates Wrongful Conduct. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

7. CONFIDENTIALITY

Reports of Wrongful Conduct or suspected Wrongful Conduct may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of Wrongful Conduct or suspected Wrongful Conduct will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

8. HANDLING REPORTED WRONGFUL CONDUCT

A representative of the executive committee board of directors will notify the sender and acknowledge receipt of the reported Wrongful Conduct or suspected Wrongful Conduct within five business days, unless such report was submitted anonymously. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

End Document

Company Information

Tompkins County Area Development
401 E. State St./E. MLK Jr. St., Suite 402B
Ithaca, NY 14850
607-273-0005