



## **Puppy Jake Foundation Complaint Notification Policy**

### **1. Purpose:**

Puppy Jake Foundation requires Board members, Veterans, committee members, employees and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities, and all directors, Veterans, committee members and employees to comply with all applicable laws and regulatory requirements.

### **2. Reporting Responsibility:**

Puppy Jake Foundation seeks to have an “Open Door Policy” and encourages anyone, Puppy Jake Foundation organization and the public alike, to share their questions, concerns, suggestions or complaints regarding the organization and its operations with someone who can address them properly. Puppy Jake Foundation Whistleblower Policy outlines the procedure for Board members, Veterans, committee members, employees and volunteers to report a complaint.

In the case that a public individual reports questions, concerns, suggestions or complaints, these questions, concerns, suggestions or complaints should be directed immediately to the CEO. If questions, concerns, suggestions or complaints are raised with Board members, Veterans, committee members, employees, staff or volunteers, the Board members, Veterans, committee members, employees and volunteers shall encourage the individual to contact the CEO or Board Chair directly.

In all cases, the Compliance Officer, after fully exploring the questions, concerns, suggestions or complaints, shall take immediate action as necessary.

### **3. No Retaliation:**

This Complaint Notification Policy is intended to encourage and enable persons to raise serious concerns within or about Puppy Jake Foundation. Additionally, this process is designed to limit actions on indirect interpretation of facts or gossip.

### **4. Compliance Officer:**

Puppy Jake Foundation, CEO or Executive Director, working with the Chair of the Board, will act as Puppy Jake Foundation’s Compliance Officer. The Compliance Officer is responsible for investigating and resolving all complaints and allegations concerning violations of the Principles and/or Code. The Board Chair or his or her designee will take on the Compliance Officer role if the complaint involves the CEO or Executive Director. If the complaint involves both the Board Chair and the CEO or Executive Director, outside legal counsel will carry out the functions of the Compliance Officer.

5. Accounting and Auditing Matters:

The Finance Committee of the Board of Directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Finance committee of any such complaint and work with the Committee until the matter is resolved.

6. Requirement of Good Faith:

Anyone filing a complaint concerning a violation or suspected violation of the law or regulation requirements must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. 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 offense.

7. Confidentiality:

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

8. Handling of Reported Violations:

The Compliance Officer, or the person responsible for carrying out the Compliance Officer's role with respect to a reported or suspected violation, will acknowledge receipt of the reported violation or suspected violation by writing a letter (or email) to the complainant within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.