

USTA SERVES INCORPORATED

Conflict of Interest and Disclosure Policy - Volunteers

1. General Provisions

A. Purpose.

- i. To ensure that the business of USTA Serves Incorporated (hereinafter “USTA SERVES”) is conducted effectively, objectively, and without improper influence or the appearance of improper influence. Volunteers must maintain high standards of honesty, integrity, and impartiality in the performance of their volunteer duties.
- ii. This Policy is designed to help directors, officers, and other Volunteers identify situations that present potential conflicts of interest and provide USTA SERVES with a procedure that, if observed, will allow a transaction to be treated as valid and binding even though a Volunteer has or may have a conflict of interest with respect to the transaction.
- iii. It is the duty of each Volunteer to become familiar with, and abide by, all rules and regulations of USTA SERVES including, but not limited to this Conflict of Interest and Disclosure Policy (hereinafter “Policy”).

B. Definitions.

- i. “**Board**” refers to the Board of Directors of USTA Serves Incorporated.
- ii. “**Ethics Officer**” refers to the General Counsel and Chief Legal Officer for USTA SERVES. The Ethics Officer is available to assist and advise Volunteers on matters covered by this Policy.
- iii. “**Person**” refers to an individual, corporation, company, association, firm, partnership, society, or any other organization or institution.
- iv. “**Volunteer**” refers to a Person that donates time and/or services to USTA SERVES. A Person continues to be a Volunteer even when they are reimbursed for costs and expenses incurred in providing the volunteer time and/or services.

2. Loyalty and Conflicts of Interest

A. For purposes of this Policy, the following circumstances will be deemed to create a potential Conflict of Interest:

- i. A contract or transaction between USTA SERVES and a Volunteer;
- ii. A contract or transaction between USTA SERVES and an entity in which a Volunteer has a financial interest or of which the Volunteer is a director, officer, employee, partner, or other representative;
- iii. A Volunteer competing with USTA SERVES in the rendering of services or in any other contract with a third party; and

iv. A Volunteer having a financial interest in, or serving as a director, officer, employee, agent, partner or other representative of, or consultant to, an entity or Person that competes with USTA SERVES in the provision of services or an any other contract with a third party.

B. Volunteers of USTA SERVES owe a duty of loyalty to USTA SERVES to fulfill conscientiously their responsibilities on behalf of USTA SERVES. Volunteers should disclose and, where appropriate, refrain from engaging in any activity that might conflict, or appear to conflict, with the interests of USTA SERVES, or that might result in or create the appearance of:

i. Using one's position as a Volunteer at USTA SERVES for private gain;

ii. Giving preferential treatment to any person;

iii. Impeding the efficiency or economy of USTA SERVES' operations; or

iv. Making decisions without impartiality.

C. Volunteers may not do indirectly, through family or friends, what they are precluded by this Policy from doing directly. A Volunteer shall disclose to the Ethics Officer any activities of family or friends that may violate the provisions of this Policy.

3. General Conduct on Gambling on Tennis

No Volunteer shall participate in or otherwise aid or abet, directly or indirectly, any form of gambling or betting involving tennis.

4. Political Activity

Volunteers are prohibited by law from utilizing any USTA SERVES affiliation in connection with the promotion of partisan political activities, religious matters, or from using official authority or influence to interfere with an election or affect its results.

5. Prohibited Personnel Practices

Volunteers may not engage in any prohibited personnel practices. Among the practices prohibited by federal law are unwelcomed advances or other unwelcomed verbal or physical conduct. Volunteers shall abide by USTA SERVES' policy on Harassment.

6. Use of USTA SERVES Property, Funds, or Facilities

Volunteers have a duty to conduct themselves honestly and responsibly while volunteering for USTA SERVES. Volunteers have a duty to actively protect and conserve USTA SERVES property, including equipment, supplies, and other property issued, entrusted or made available. No Volunteer shall use or allow others to use for non-USTA SERVES purposes or for private gain, USTA SERVES funds, staff resources, facilities or property, including but not limited to, official mail and travel privileges. All materials generated or received by a Volunteer within the scope of providing the volunteer time and/or services are

the property of the USTA SERVES and may not be destroyed or removed from the USTA SERVES in accordance with established USTA SERVES procedures.

7. Use of USTA SERVES Information

Maximum discretion in disseminating information is expected of all Volunteers. Press should be referred to the Executive Director of USTA SERVES. Other requests for nonpublic information not routinely provided should be referred to the General Counsel for USTA SERVES. No Volunteer shall, without written consent of the Ethics Officer or Chair of the Audit Committee, make use of or permit others to make use of any information obtained during the course of volunteering that is not available to the general public for purposes of furthering a private interest or for any purpose detrimental to USTA SERVES.

8. Referrals

Volunteers may be called upon to recommend a provider of services, other than USTA SERVES, to persons outside USTA SERVES seeking such service. Since such a referral may be construed as an endorsement, or result in charges of personal favoritism, Volunteers should, unless otherwise agreed to by USTA SERVES' Board, make clear that any referral is not endorsed by USTA SERVES.

9. Gifts and Awards

Except as provided below, Volunteers shall not solicit or accept, directly or indirectly, any gift, gratuity, favor, entertainment, loan, or any other thing of monetary value in excess of \$400.00, from any Person who:

- has or is seeking to obtain a contractual or other business or financial relationships with USTA SERVES;
- has received, is receiving or is seeking to receive a loan or grant from USTA SERVES;
- is seeking to affect any official action of USTA SERVES; or
- has interests which may be affected substantially by the performance or non performance of the Volunteer's duty.

A. Exceptions:

- gifts clearly motivated by a personal or family relationship rather than official business may be accepted; and
- Food and refreshments of modest value may be accepted by a Volunteer on infrequent occasions in the ordinary course of official business such as a luncheon or dinner meeting.

B. Gifts from Persons engaged in USTA SERVES-related activities. Except as otherwise provided above; Volunteers must obtain the written consent of the Ethics Officer or Chair of the Audit Committee prior to accepting any gift from a Person engaged in a USTA SERVES-related activity. The Ethics Officer or Chair of the Audit Committee may in his or her discretion authorize acceptance, forbid acceptance, authorize acceptance on condition that the gift be turned over to USTA SERVES, or impose any other reasonable restrictions on a Volunteer's acceptance of a gift.

- C. Decorations and Awards. Volunteers may accept without restriction any decoration or award from any source given in recognition of meritorious public contribution or an achievement.

10. Outside Activities

- A. Volunteers may not engage in any outside activity that may reasonably be construed by the public as the official action of USTA SERVES without the prior consent of the Ethics Officer or Chair of the Audit Committee. In any activity which might be so construed, the use of USTA SERVES' name or of a Volunteer's title with USTA SERVES, requires the prior written consent of the Ethics Officer or Chair of the Audit Committee.
- B. Publication. All writings and publications that are prepared within the scope of providing the volunteer time and/or services at USTA SERVES constitutes USTA SERVES' work product and is the property of USTA SERVES. USTA SERVES shall have all rights therein; except, to the extent that USTA SERVES has agreed otherwise in writing.

11. Conflict of Interest Disclosure Form

- A. Each of the following Volunteers must sign and submit a Conflict of Interest Disclosure Form, certifying compliance with this Policy and other policies and procedures adopted by USTA SERVES:
 - i. All members of the Board of Directors;
 - ii. All Chairs; and
 - iii. All other committee members whether Standing or other.
- B. Submitting a Conflict of Interest Disclosure Form. All USTA SERVES Volunteers identified in this **Section 11** will be required to sign a Conflict of Interest Disclosure Form. A Conflict of Interest Disclosure Form is to be submitted to the Ethics Officer during the month of January of each calendar year.
- C. Ethics Training. From time to time, USTA SERVES will make available training in ethics and ethical conduct. All Volunteers who are required to submit a Conflict of Interest Disclosure Form should attend such training as offered.

12. Procedures

- A. Before any action on a contract or transaction involving a potential Conflict of Interest, a Volunteer having a potential Conflict of Interest and who is in attendance at the meeting shall disclose all facts material to the potential Conflict of Interest. Such disclosure shall be reflected in the minutes of the meeting.
- B. A Volunteer who elects not to attend a meeting at which he or she has a reason to believe action will be taken on a matter in which the Volunteer has a Conflict

of Interest shall disclose to the Chair of the meeting all facts material to the Conflict of Interest and the Chair shall report the disclosure at the meeting and the disclosure will be reflected in the minutes of the meeting.

- C. A Volunteer who has a Conflict of Interest shall not participate in or be permitted to hear the Board's or Committee's deliberation on the matter except to disclose material facts and to respond to questions. Such Person shall not attempt to exert his or her personal influence with respect to the matter, either at or outside the meeting.
- D. A Volunteer who has a Conflict of Interest may not vote on the contract or matter and shall not be present at the time the vote is taken and such Volunteer's ineligibility to vote shall be noted in the meeting minutes.
- E. In all other instances where a vote is not called for, a Volunteer shall disclose a Conflict of Interest or a potential Conflict of Interest to the Board or Committee Chair as soon as such Conflict of Interest is known and the Volunteer shall thereafter refrain from any action that may affect USTA SERVES' participation in the contract or matter.
- F. If the Board or Committee has reasonable cause to believe that a Volunteer has failed to disclose an actual or possible Conflict of Interest, it shall inform the Volunteer of the basis for such belief and afford the Volunteer an opportunity to explain the alleged failure to disclose. If after hearing the Volunteer's response and making further investigation as warranted by the circumstances, the Board or Committee determines the Volunteer has failed to disclose an actual or possible Conflict of Interest, it shall take appropriate disciplinary and corrective action. The disciplinary action may take the form of admonishment, written reprimand, reassignment, suspension, removal, or such other action as deemed appropriate.
- G. The type of disciplinary action to be taken must be determined in relation to the specific violation. Those responsible for recommending and taking disciplinary action must apply judgment to each case, considering the general objectives for meeting any requirement within this Policy, deterrence of similar offenses by other Volunteers, and maintenance of a high standard of conduct and public confidence. No disciplinary action will be taken against a Volunteer who has received written approval from the Ethics Officer or Chair of the Audit Committee for the activity alleged to be in violation.