

# EthicsPoint Frequently Asked Questions

## **What is EthicsPoint?**

EthicsPoint is a comprehensive and confidential third-party reporting tool to assist leadership and Board of Directors of Rock Dental Brands to work together to address fraud, abuse, conflict of interest, and other misconduct, all while maintaining the integrity of the Company.

## **Why Do We Need a System Like EthicsPoint?**

An effective reporting system will augment our other efforts to foster a culture of integrity and ethical decision making. In addition, an external reporting system ensures that reports are escalated to and addressed by those at the highest levels of the Company.

## **Reporting**

### **How do I file a report?**

With EthicsPoint, you have the ability to file a confidential report via telephone or website.

You can file an EthicsPoint report <http://rockdentalbrands.ethicspoint.com/> from any computer that can access the Internet. If you don't have access or are uncomfortable using a computer, you can call the EthicsPoint toll-free hotline 844-995-4899, which is available 24 hours a day, 365 days a year.

### **What type of situations should I report?**

The EthicsPoint system is designed to report any violation of our stated policies or other concerns you may have.

### **If I see a violation, shouldn't I just report it to my Rock Dental Brands supervisor or to the Office of Human Resources?**

When you observe some behavior that you believe violates our policies, we expect you to take appropriate action, which—depending on the circumstances—should be to bring any concerns forward to your direct manager, to your Team Leader, Area Manager, to Human Resources, to the Chief Compliance Officer, or to the Chief Executive Officer. We recognize, however, that there may be circumstances when it is not appropriate to report the issue in

this manner. It is for such circumstances that we have partnered with EthicsPoint. *You should always exhaust all appropriate internal procedures for resolving issues before reporting them via EthicsPoint.*

### **Where do these reports go? Who can access them?**

Reports are entered directly on the EthicsPoint secure server to prevent any possible breach in security. EthicsPoint makes these reports available only to specific individuals at Rock Dental Brands who are charged with evaluating the reports based on the type of violation and the location of the incident. Note that the Chief Compliance Officer of Rock Dental Brands will receive notice of each report, unless the Chief Compliance Officer is the subject of concern, in which case HR Director, the General Counsel or other officer of Rock Dental Brands will be informed instead.

### **What if my supervisor or other managers are involved in a violation? Won't they get the report and start a cover up?**

The EthicsPoint system is designed so that implicated parties are not notified or granted access to reports in which they have been named.

## **Security and Confidentiality**

### **Is it OK to make an anonymous report?**

Yes. Please understand, however, that in some instances it may be impossible, unethical or inappropriate for Rock Dental Brands to act upon a report without further information or without knowing the identity of the reporter. In such cases, you will be asked for clarifying information via the EthicsPoint website or call center, which you may choose to reveal your identity.

### **It is my understanding that any report I send from a Rock Dental Brands computer generates a server log showing every website I visit, and won't this log identify me as a report originator?**

EthicsPoint does not generate or maintain any internal connection logs with IP addresses, so no information linking your computer to EthicsPoint is available. In fact, EthicsPoint is contractually committed not to pursue a reporter's identity.

If you feel uncomfortable making a report from your Rock Dental Brands computer, you have the option of using a computer outside of our environment (such as one located at an Internet café, at a friend's house, etc.) through the EthicsPoint secure website.

**Can I file a report from home and still remain anonymous?**

A report from home, a neighbor's computer or any Internet portal will remain secure and anonymous. An Internet portal never identifies a visitor by screen name and the EthicsPoint system strips away Internet addresses so that anonymity is totally maintained. Plus, EthicsPoint is contractually committed not to pursue a reporter's identity.

**Is the telephone toll-free hotline confidential and anonymous, too?**

Yes. You will be asked to provide the same information that you would provide in an Internet-based report and an interviewer will type your responses into the EthicsPoint website. These reports have the same security and confidentiality measures applied to them during delivery.

**What if I want to be identified with my report?**

There is a section in the report for identifying yourself if you wish.

**Following up After a Report****What if I remember something important about the incident after I file the report? Or, what if Rock Dental Brands has further questions for me concerning my report?**

When you file a report on the EthicsPoint website or through the EthicsPoint Call Center, you receive a unique username and are asked to choose a password. You can return to the EthicsPoint system again, either by Internet or telephone, and access the original report to add more detail, to add further information that will help resolve open issues or to answer questions posed by a Rock Dental Brands representative. We strongly suggest that you return to the site in the time specified to answer Rock Dental Brands' questions. You and Rock Dental Brands now have entered into an "anonymous dialogue" in which situations are not only identified, but can be resolved, no matter how complex.

**Are these report follow-ups as secure as the first?**

All EthicsPoint correspondences are held in the same strict confidence as the initial report, continuing under the umbrella of anonymity.

**When will I hear back from someone? How long does the process take?**

In general, you should expect an initial response from a Rock Dental Brands representative within 5 to 6 business days. Please note that it may take much longer to investigate and resolve any issues.

## **Imminent Threats**

### **Should I use EthicsPoint to report a potentially dangerous situation?**

EthicsPoint is *not* 911 or an emergency service! Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please call 911 on an outside telephone line or contact your local authorities without delay.