

THE DOE FUND, INC.

Whistleblower Policy

Adopted May 6, 2024

The Doe Fund, Inc. (the "Organization") is committed to the highest possible legal, ethical and moral standards of conduct and will not tolerate illegal or dishonest behavior. In this spirit, the Organization expects its employees, officers, directors and volunteers to observe the highest standards of business and personal ethics, to practice honesty and integrity in their business dealings, and to comply with all applicable laws, regulations, and corporate policies.

In fact, as stewards of the public trust, all directors, members, officers, employees, and volunteers of the Organization are expected to help ensure that the Organization and the individuals associated with it comply with the highest standards governing financial accounting and reporting and engage in lawful and ethical behavior in all of the Organization's dealings. This policy (the "Policy"), modeled on the requirements of Section 715-b of the New York Not-for-Profit Corporation Law, is intended to remind these individuals of this expectation, to strongly encourage all to report any concerns and complaints about possible violations, to outline procedures for reporting and investigating concerns and complaints, and to describe the protections afforded under the Policy. The Organization is also committed to complying with Section 740 of the New York Labor Law. For more information on Section 740, please see the "Notice of Employee Rights, Protections, and Obligations Under Labor Law Section 740," posted on the Organization's Intranet Portal and available [here](#).

This policy is meant to cover any and all concerns and complaints about possibly illegal or unethical conduct or any violation of the Organization's policies, including but not limited to any financial wrongdoing, harassment¹, discrimination², other misconduct, and any other matters potentially affecting the Organization's reputation. For guidance, examples of misconduct covered by this policy are provided in Exhibit I, which is not meant to be an exhaustive list.

The Organization's Board of Directors (the "Board"), or an authorized committee thereof, will oversee this Policy. The Board designates the Chair of the Board of Directors of the Organization, under the direction of the Board, to administer this Policy on its behalf and to report to the Board concerning such administration.

A copy of this Policy will be furnished to each director, member, officer, and employee of the Organization, and to volunteers who provide substantial services to the Organization. It will also be posted electronically on the Organization's Intranet Portal, on doe.org and physically in The Doe Fund's facilities.

¹ Please also see The Doe Fund's [Sexual Harassment and Discrimination Prevention Policy](#)

² Please also see The Doe Fund's [Sexual Harassment and Discrimination Prevention Policy](#)

1. Reports of Concerns and/or Complaints (collectively, “Reports”)

If any director, member, officer, current or former employee, independent contractor (as limited by N.Y. Labor Law §740(1)(a)) or volunteer (collectively, a “Reporter”) knows or has a good faith or reasonable belief that persons associated with the Organization have engaged or plan to engage in illegal, unethical, or fraudulent conduct, or conduct that is contrary to the Organization’s policies, or that would cause injury to its reputation, such person is strongly encouraged to report that concern or complaint immediately. Please also review and be aware of the additional reporting obligations set out in the Organization’s [Sexual Harassment and Discrimination Prevention Policy](#).

2. Procedure for Reporting Concerns and Complaints

Concerns and complaints may be reported either with your identity provided or on a confidential, anonymous basis³, orally or in writing, giving as much detail as possible, to such Officer of the Organization as the Chair may determine (the “Officer”), or, if the concern or complaint pertains to the Officer, to a designated alternate (the “Alternate”). Contact information for the Officer and the Alternate is included at the end of this Policy. Concerns and complaints may also be reported by calling or emailing the Organization’s Whistleblower Hotline -- via phone (646-883-9262) to leave a detailed voice message or email (hotline@doe.org) -- which is monitored solely by the Officer. Upon receiving an oral Report, the Officer (or the Alternate), as applicable, will promptly prepare a confidential written summary of the Report, including as much detail as possible. If you are uncomfortable raising a matter with the Officer or the Alternate, you may contact the Board Chair at boardchair@doe.org.

Handling of Reports Received:

- All non-anonymous Reports will be acknowledged promptly by the individual who receives the Report.
- The Report will be reviewed, possibly with counsel, and investigative action as appropriate will be undertaken as promptly as possible.
- Any Report that relates in any way to financial impropriety will promptly be brought to the attention of the Board Chair and the Audit Committee Chair. Any Report of harassment, discrimination or other serious violation of the organization’s policies shall be reported to the Board Chair promptly upon receipt.
- The Officer and/or the Alternate will promptly inform the Board Chair, and the Audit Committee Chair as appropriate, of any Report that has been determined to be credible and material. This communication will generally include a copy of the Report and its date and nature. It will also describe the conduct, status and findings of any investigation and any recommendations to address the Report.

³ Anonymous concerns and complaints, in particular, should be detailed to the greatest extent possible, because follow-up questions will not be possible. Investigations of anonymous Reports may not be possible if sufficiently detailed information is not provided when such Reports are made.

In addition to the foregoing, all Reports that have been received under this policy will collectively be communicated to the Board Chair and the Audit Committee Chair on at least a quarterly ongoing basis until the Report has been closed.

3. Action on Reports

The Organization will take appropriate action in response to all Reports, including disciplinary action against any person who, in the Organization's assessment, has engaged in illegal, unethical, or fraudulent conduct, or conduct contrary to the Organization's policies, including this policy, and, where appropriate, reporting of such misconduct to the relevant civil, criminal, or administrative authorities.

Directors who are employees of the Organization may not participate in Board or committee deliberations or votes relating to administration of this Policy. In addition, any person who is the subject of a Report made pursuant to this Policy may not be present at or participate in any Board or committee deliberations or votes on the matter relating to the Report. However, the Board or authorized committee thereof may request that such person present background information or answer questions at a meeting of the Board or authorized committee thereof prior to the commencement of deliberations or voting.

4. Protection under the Policy

No Reporter who, in good faith or upon reasonable belief, reports any action or suspected action taken by or within the Organization that is illegal, fraudulent, unethical, or in violation of any policy of the Organization shall suffer Retaliatory Actions, as defined below, including intimidation, harassment, or discrimination, or, in the case of employees, adverse employment consequences:

A Retaliatory Action is an adverse action taken by an employer or his or her agent to discharge, threaten, penalize, or in any other manner discriminate against a Reporter for reporting a concern or complaint in good faith or upon reasonable belief pursuant to this Policy, including:

- (i) adverse employment actions or threats to take such adverse employment actions against a Reporter in the terms of conditions of employment including but not limited to discharge, suspension, or demotion;
- (ii) actions or threats to take such actions that would adversely impact a former employee's current or future employment; or
- (iii) threatening to contact or contacting United States immigration authorities or otherwise reporting or threatening to report a Reporter's suspected citizenship or immigration status or the suspected citizenship or immigration status of a Reporter's family or household member, as defined in subdivision two of section four hundred fifty-nine-a of the social services law, to a federal, state, or local agency.

Retaliatory Actions are strictly prohibited. Any director, member, officer, employee, volunteer or other agent of the Organization who retaliates against a Reporter for reporting a concern or

complaint in good faith or upon reasonable belief pursuant to this Policy will be subject to disciplinary action, up to and including termination from employment or removal from office or from the Board. Any Reporter who deliberately or maliciously provides false information may be subject to disciplinary action, up to and including termination of employment or removal from office or from the Board.

Additionally, no officer or employee of the Organization shall take an adverse personnel action with respect to another officer or employee of the Organization in retaliation for such officer or employee making a report of information concerning conduct which the reporting officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee of the Organization that concerns a contract with a NYC contracting agency of the Organization -- if the report was made to the NYC commissioner, a council member, the public advocate, the comptroller, the special commissioner of investigation, the chief procurement officer, the agency chief contracting officer, or the agency head or commissioner of the contracting agency.⁴

This Policy does not create a promise or contract by the Organization, and it may be amended at any time without prior notification. Employment at the Organization is at will and nothing in this Policy should be interpreted as in any way limiting such at-will relationship.

5. Confidentiality

In receiving Reports and conducting its investigations, the Organization will strive to keep as confidential as possible the identity of any Reporter, any individual who provides information during or otherwise participates in or assists an investigation, and any persons who are the subject of the Report, except that the Organization may share such information as it deems necessary with appropriate Organization personnel, advisors, law enforcement officers, or as may be required by law.

6. Contact Information

Officer

Name: Gary Podorowsky
Address: The Doe Fund, Inc., 345 E 102nd Street, Suite 305, New York, NY 10029
Phone: 646-883-9262 (*the Whistleblower Hotline*)
Email: gpodorowsky@doe.org or the hotline email address noted above

Alternate

Name: Jennifer Mitchell
Address: The Doe Fund, Inc., 345 E 102nd Street, Suite 305, New York, NY 10029
Phone: 917-731-7459
Email: JenniferM@doe.org

⁴ This protection is granted under the NYC Whistleblower Law (NYC Administrative Code section 12-113). The Doe Fund, Inc. is committed to complying with the NYC Whistleblower Law.

EXHIBIT I

EXAMPLES OF MISCONDUCT COVERED BY THIS POLICY

This is not meant to be an exhaustive list, but rather, a guide to the types of improper behavior covered by this Policy.

- Violations of federal, state, or local laws, regulations, local ordinances, executive orders and judicial and administrative decisions, rulings and orders;
- Transactions for the benefit of oneself ("self-dealing") or theft of any of the Organization's assets;
- Fraudulent financial reporting or actions that may lead to such fraudulent reporting;
- Conduct that constitutes or could lead or contribute to harassment because of an individual's Protected Characteristic(s)⁵, e.g.: Ethnic slurs; the use of the Organization's computers or its email to view or distribute racially offensive or pornographic communications; bullying, yelling, or name-calling; creating different expectations for individuals based on their perceived identities; threatening, intimidating, or hostile acts directed at a particular religious group, or directed at an individual because of their, race, ethnicity, or other protected characteristic. Additional information may be found at [Sexual Harassment and Discrimination Prevention Policy](#);
- Sexual harassment, which includes harassment on the bases of sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity and the state of being transgender. It includes, but is not limited to sexual contact, touching, or expressions of a sexually suggestive nature. Sexual harassment includes all forms of gender discrimination including gender role stereotyping and treating covered persons differently because of their gender. Additional information and examples of such conduct may be found at [Sexual Harassment and Discrimination Prevention Policy](#);
- Submission of false documentation or claims to any government or funding entity;
- Financial crimes, including embezzlement, bribery, or kickbacks;
- Fraudulently influencing or misleading any independent public accountant engaged in the performance of an audit of the Organization's financial statements or audit of compliance with the specified requirements of a grant or contract;
- Destroying, altering, concealing, or falsifying a document or attempting to do so, with the intent to impair the document's availability for use in an official proceeding;

⁵ Protected Characteristics are an individual's race or color, religion or creed, alienage or citizenship status, sex (including pregnancy), national origin, age, sexual orientation, gender identity or expression, sexual and reproductive health decisions or decision making (of covered persons or their dependents), disability, height, weight, marital status, familial status, domestic partnership status, caregiver status, genetic information or predisposing genetic characteristics, military status, domestic violence, sexual violence, or stalking victim status, pre-employment arrest record, or any other characteristic protected by law.

- Retaliatory Actions against an individual who reported concerns or complaints in good faith or upon reasonable belief;
- An activity, policy or practice of the employer that poses a substantial and specific danger to the public health or safety;
- An activity, policy or practice that could reasonably be expected to endanger the welfare of a minor;
- Non-compliance with the Organization's policies, including this policy;
- Unethical behavior;
- Planning, facilitating, or concealing any of the above.