

Broome Tobacco Asset Securitization Corporation

Policy-Whistle Blower Procedure

1. Every corporate officer, director or employee shall promptly report to the corporate attorney or corporate treasurer any information concerning corruption, fraud, criminal activity, conflicts of interest, or abuse by another corporate officer, director or employee relating to his/her office or employment, or by a person having business dealings with the Broome Tobacco Asset Securitization Corporation.
2. The knowing or intentional failure of any corporate officer, director or employee to so report information of improper corporate action shall be cause for removal from office or employment or other appropriate penalty.
3. Any officer, director or employee of the Broome Tobacco Asset Securitization Corporation who acts pursuant to this Procedure by reporting improper corporate action as defined in Civil Service Law 75-b shall not be subject to dismissal or other disciplinary or adverse personal action.
4. Whenever the corporate attorney and/or corporate treasurer receives any information concerning corruption, fraud, criminal activity, conflicts of interest, or abuse, he/she shall investigate the matter and if appropriate, notify the authorities, including by not limited to the County Executive, County Comptroller, State Comptroller, County District Attorney, State Attorney General, the Corporate Board of Directors, and the Broome County Board of Ethics.

