



AGEWELL NEW YORK, LLC

COMPLIANCE PROGRAM STANDARDS OF CONDUCT

Medicare Advantage Prescription Drug Plan

I. Introduction and Overview

AgeWell New York, LLC (“AgeWell New York”) is fully committed to complying with all applicable Federal and State laws, regulations, guidelines and other legal requirements to conduct its business in an ethical and legal manner. If you interface with any health care lines of business, such as Medicare and Medicaid, the AgeWell New York Compliance Program Standards of Conduct (“Standards of Conduct”) apply to you.

The Standards of Conduct articulate AgeWell New York’s culture of compliance and ethical behavior. We expect and require that all members of the AgeWell New York community abide by the highest standards of integrity, including its Board of Managers, corporate officers, administrative, clinical, and management personnel, contracted health care providers and practitioners and other employees, as well as providers and First-Tier, Downstream and Related entities (“FDRs.”)

Although the Standards of Conduct do not cover every situation that may arise in the course of daily business, they provide general guidelines and direct you to seek additional information when it is needed. Additional guidance is provided in AgeWell New York’s Compliance Program Charter, Compliance Program Policies and Procedures, Compliance Program Code of Conduct, and the Fraud, Waste and Abuse (FWA) Program.

The Standards of Conduct is a living document that is updated periodically to respond to changes in the health care industry. You may use any of the reporting channels listed in the Standards of Conduct to report or seek clarification on an issue, or if you are unsure whether an activity meets AgeWell New York’s ethical standards. Furthermore, if you are asked to do something you believe is contrary to the law or our Standards of Conduct, or have knowledge that someone may have violated a rule, you must report it through the appropriate internal channels.

While there is no single standard that governs all situations, the use of available resources, good judgment and common sense combined with personal integrity and honesty are the best guides to assure that business activities are conducted with the highest ethical standards.

No PHI may be disclosed or discussed with anyone inside or outside AgeWell New York except as required to fulfill your job responsibilities and in accordance with AgeWell New York's policies, procedures, regulatory agencies, and Federal and State laws. A breach of confidentiality occurs when PHI is passed purposely or inadvertently to anyone who does not have a business "need to know." Such breaches of privacy and security are strictly prohibited. Please refer to company HIPAA Privacy and Security policies for additional detail.

Reporting Financial Condition and Operations

AgeWell New York's books and records shall be kept in accordance with generally accepted accounting principles, and with established finance and accounting policies. All personnel will cooperate fully with internal and outside auditors during examinations of AgeWell New York's books, records and operations. Certifications and reports of financial conditions will be true and accurate. Deception is inconsistent with principles of integrity and will not be tolerated.

Leadership Responsibilities

Leadership entails special responsibilities. While setting the "tone at the top," AgeWell New York's leaders are responsible for making strategic business decisions that align with its ethical standards. In addition to setting the tone at the top, leaders must be knowledgeable about the content and operation of the Compliance Program. The leadership team plays an important role in building integrity, respect, credibility and long-term sustainability for AgeWell New York. Because leadership sets an example for all employees, they must:

- Foster an environment of transparency.
- Maintain a positive, ethical work environment.
- Make certain that employees understand what is expected of them both professionally and ethically.
- Maintain an open door policy on a routine basis for employees to ask questions and raise concerns.
- Address issues raised by employees by listening and taking action, when appropriate.
- Be fair and objective.
- Be a positive role model.

Accepting and Offering Gifts

You are expected to use discretion and good judgment in dealing with customers and suppliers. You may not accept gratuities, kickbacks, or payments offered by anyone with whom AgeWell New York does business. This includes the acceptance of something of value, favors, discount on goods or services, gratuities, entertainment, or personal services payments (collectively "gifts") from any person or organization doing or seeking to do business with AgeWell New York which is or may appear to be intended to influence transactions or business relationships with AgeWell New York.

Exceptions to the above include:

- Items that are considered to be of nominal value (under \$10.00), such as cups, pens, tee shirts, key chains, paper pads, bags, or other small promotional items from those business relationships doing business with or seeking to do business with AgeWell New York.



- Meals and refreshments of reasonable value that occur in the course of bona fide business meetings with non-governmental personnel.
- Food, flowers or other perishable items that are shared with AgeWell New York's staff.
- Items won at a conference, meeting, where all attendees were given equal opportunity to win.

X. Consequences of Non-Compliance

Failure to act with integrity or comply with applicable laws and regulations can have a severe adverse impact on AgeWell New York and its business. Nothing is more important to AgeWell New York's collective success than the strength of its reputation, and nothing has a more profound impact on its reputation than AgeWell New York's conduct by its employees and those associated with AgeWell New York.

Failure to comply with the specific provisions of the law, such as Medicare, Medicaid, or other Federal or State program requirements, can result in significant loss of business through exclusion or debarment of AgeWell New York from government programs, as well as potential penalties or even criminal sanctions.

If you violate a compliance or FWA requirement, or fail to exercise reasonable due diligence to prevent, detect and correct compliance or FWA issues, you will be subject to various disciplinary actions. The disciplinary actions may include verbal or written warnings, suspension, up to and including termination of employment or contract. The type of disciplinary action imposed will depend on the "reason, record and circumstance." Failure to comply with the Standards of Conduct includes, but is not limited to:

- Authorizing, directing, approving or participating in violations of an AgeWell New York policy or encouraging others to violate a policy;
- Failing to demonstrate adequate leadership to ensure compliance with AgeWell New York policies and applicable laws;
- Concealing or failing to report violations;
- Deliberately withholding or misstating relevant information concerning a violation of the Standards of Conduct;
- Failing to cooperate with an investigation or an audit; or
- Retaliating against an employee for raising a compliance concern.

Effective Date: April 1, 2013

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