

High Hopes Therapeutic Riding, Inc.
Conflicts of Interest, Confidentiality and Noncompetition
Key Person Disclosure and Certification Form

_____ is a “Key Person” as defined in the Conflicts of Interest, Confidentiality and Noncompetition Policies (the “Policies”) of High Hopes Therapeutic Riding, Inc. (the “Corporation”), and is completing this form pursuant to the Policies.

A. Disclosure of possible conflicts of interest.

As used in this form, the term Related Person means, as to you:

- i. Your siblings, spouse, parents, children and grandchildren; the siblings, spouses, parents and children of any of them; any individual who lives in your home; and any other person who will, or might in the foreseeable future, benefit from or be damaged by action or inaction by the Corporation if such damage or benefit may have a material influence on your decisions on behalf of the Corporation;
- ii. A trust or estate in which you or any of the other designated individuals have a substantial interest, and any trust, estate, conserved person, or minor for which the person is a fiduciary;
- iii. An entity controlled either by you or by one of the individuals, trusts, or estates above, and a business entity, trust, or estate in which you or a family member has a financial interest; and
- iv. A corporation (whether business or nonprofit) of which you are a director or senior officer and an unincorporated entity of which you are a partner, member or member of the governing body.

In responding to these questions, please note that a “yes” answer does not imply that the relationship or transaction is necessarily inappropriate.

1. Are you or a Related Person currently, or have you or a Related Person been within the past three (3) years, a director, trustee, officer, shareholder, member, owner (in whole or in part), employee or independent contractor of, or involved in a financial or contractual relationship of any kind with, any corporation, limited liability company, partnership or other legal entity or organization, whether for profit or nonprofit, with which: (i) the Corporation has or has had business dealings of any kind; or (ii) competes in any way?

_____Yes _____No

If the answer is “yes” please list the names of such entities, your affiliation with them, and the approximate dollar amount of business involved with the Corporation in the past three (3) years:

2. Have you or any Related Person, within the past three (3) years, received anything of value, including without limitation any gifts, goods, services, loans or compensation of any kind, from any corporation, limited liability company, partnership or other legal entity or organization, whether for profit or nonprofit, with which: (i) the Corporation has or has had business dealings of any kind; or (ii) competes in any way?

_____Yes _____No

If the answer is “yes,” list each such thing of value as follows:

<u>Name of Source</u>	<u>Item</u>	<u>Approximate Value</u>	<u>Date</u>
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3. Do you foresee your or a Related Person’s involvement in the coming year, or have you or a Related Person been involved during the past three (3) years, in any other activity or relationship, business or otherwise, that might be perceived or interpreted as a possible conflict of interest with your role and responsibilities to the Corporation, including without limitation your or a Related Person’s service as an officer, director or trustee of another nonprofit organization?

_____Yes _____No

If “yes,” please describe:

B. Certification and agreement. I hereby certify and agree that:

1. I have carefully read and fully understand the Policies;
2. I shall comply fully with all of my obligations under the Policies; and
3. All of the information set forth in **Part A** of this form is true and complete to the best of my knowledge and belief.

Date

Signature