



# **MultiPlan Code of Business Conduct and Ethics**



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# CODE OF BUSINESS CONDUCT AND ETHICS

## **Purpose**

The MultiPlan Code of Business Conduct and Ethics (this “Code”) contains the legal and ethical standards of conduct required of all employees, including MultiPlan Board of Directors and contracted and temporary employees and parties with which MultiPlan does business. All MultiPlan employees, network providers and Third-Parties (collectively “you”) are expected to apply high ethical, moral and legal principles in every aspect of business conduct. MultiPlan managers, at all levels, are expected to lead by example in supporting and enforcing this Code.

## **1. Compliance with Laws, Rules and Regulations**

You must comply with all applicable laws, rules and regulations including the Government Program laws, discussed below. The use of any MultiPlan or plan sponsor’s (“clients”) funds or assets for any

### **3. Integrity of MultiPlan Information**

You may use and disclose MultiPlan Proprietary Information only to carry out your assigned job functions or contracted duties/services and in compliance with applicable laws and MultiPlan's privacy and security policies and procedures.

#### **Financial Reporting and Internal Control**

All financial reports, accounting and billing records, research reports, expense accounts, time sheets, invoicing and other such documents prepared in connection with MultiPlan, its clients or its clients' enrollees, are considered Confidential Information. Such documents must be truthful, complete and accurately recorded, and must properly describe the transactions they reflect. Improper or fraudulent accounting, documentation or financial reporting is prohibited.

#### **Data Rett**

ethical means should be used to gather information about existing and potential competitors.

### **Honest Communication**

You should be open and honest in the performance of your job duties or contracted duties/services. You shall not make false or misleading statements to MultiPlan or any entity doing business with MultiPlan about any other individual or organization, about the products or services of MultiPlan or its competitors, or your contracted duties/services

Employees may accept or offer only those business gratuities that have a nominal value, as defined by MultiPlan policy. Since practices in offering and accepting business gratuities vary among the markets and industries we serve, consultation is critical – employees should ask their supervisor or the Fraud, Waste and Abuse (FWA) Compliance Officer if they have a question about what is appropriate.

Before offering or providing any gift or gratuity to a MultiPlan employee, the network provider or Third-Party must confirm with the MultiPlan employee that such gift or gratuity would not place the employee in violation of this Code and/or applicable MultiPlan policies.

Nothing in this Code shall prohibit a MultiPlan business unit or supervisor from establishing stricter rules relating to the acceptance or giving of gifts, gratuities or other items of value to clients or from network providers and Third-Parties.

## **Outside Activities and Directorships**

Each MultiPlan employee has a duty to disclose any Outside Activities and Directorships, including any charitable or civic organization (except for homeowners' associations, parent-teacher associations and/or religious organizations), that directly or indirectly affect company duties, to the Vice President for his/her division.

A person is involved in "Outside Activities and Directorships" if the person (1) holds a job outside of MultiPlan, or (2) is involved in a business outside of MultiPlan, or (3) is involved with civic, trade, and charitable organizations in a role that may directly or indirectly affect the ability of the employee to perform his/ her duties with MultiPlan or may influence decisions the employee makes on behalf of or affecting MultiPlan.

MultiPlan retains the right to prohibit membership on any Outside Activities and Directorships where such membership might conflict with the interests of MultiPlan. Questions regarding whether or not such participation by a MultiPlan employee might present a conflict of interest should be addressed to the employee's manager or Human Resource Representative.

## **Lobbying**

You shall not engage in lobbying activities on behalf of MultiPlan unless authorized. Lobbying is strictly regulated by federal and state government rules. For example, certain federal programs require that no federally appropriated funds have been paid or will be paid by or on behalf of MultiPlan to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal loan or grant, or the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. You may not communicate with elected officials or their staffs on behalf of MultiPlan without clearance from Human Resources or business representative and the Legal Department. You are also prohibited from contributing or making any agreement to contribute any money, property, or services of any MultiPlan resources or personnel at MultiPlan's expense to any political candidate, party, organization or committee.

The above is not intended to restrict you from participation or association in political activities as citizens of their country, state, county, city, municipality and neighborhood. However, your involvement in politics must remain separate from your responsibilities as a MultiPlan employee or your contractual responsibilities as a network provider and/or Third-Party.

## **6. Protection of Assets and Resources**

too must make prudent and effective use of MultiPlan or its clients' resources. MultiPlan assets include, but are not limited to, MultiPlan Proprietary Information and physical property including facilities, computers, other equipment, and supplies. Assets must be protected from misuse, damage, theft, or other improper handling and only used for its intended purpose.

### **Personal Use of Corporate Assets**

You are prohibited from improperly using MultiPlan's assets for personal reasons. You are prohibited from the unauthorized use or taking of MultiPlan's equipment, supplies, materials or services, excluding nominal use previously approved by MultiPlan.

All MultiPlan business shall be conducted in a manner designed to further MultiPlan's interest rather than the personal interest of an individual employee. Prior to engaging in any activity on MultiPlan time that will result in compensation to the employee from an entity other than MultiPlan or the use of MultiPlan's equipment, supplies, materials or services for personal or non-work related purposes, employees must obtain the approval of their supervisor.

## **7. Fair Employment Practices**

### **Harassment and Discrimination**

Harassment undermines the integrity of the







any privacy or security-related incidents, may be reported anonymously and without fear of retaliation. Calls to the Hotline are received by trained staff not employed by MultiPlan. Hotline staff will document your concerns and forward the information to MultiPlan's Human Resource Compliance Officer, as applicable, for appropriate action. Calls to the Hotline will not be traced. You may remain anonymous. If you wish to identify yourself, MultiPlan cannot guarantee that your identity will not be disclosed. Please understand, however, that your identity and office location will facilitate MultiPlan's response to your concern, and that such information may be necessary to enable MultiPlan to inquire about and investigate the matter you report.

As used in this Code the term "MultiPlan" means MultiPlan Inc. and each of its divisions, subsidiaries, affiliates, and operating or business units. For purposes of this Code, the term "employee" includes any individual employed or contracted by MultiPlan or any of its divisions, subsidiaries, affiliates, or operating or business units, including but not limited to employees and MultiPlan directors.

## **10. MultiPlan Policies and Procedures**

MultiPlan employees may refer to the following policies and procedures, located on MultiVerse, for additional information on the standards detailed in this Code.

- Record Retention, LD-01
- Fraud, Waste, and Abuse, LD-16
- Equal Employment Opportunity policy HR-100
- "Confidential Information" HR-105
- Conflict of Interest HR-120
- Sexual Harassment HR-302
- Drug Free & Alcohol Free policy HR-306
- Harassment in the Workplace HR-307
- Employee Conduct Policy HR-502
- Open Door Policy/Grievance Procedure/Whistleblower Rights and Protections policy, HR-507
- Anti-Bribery HR-514

## **11. Definitions**

***Client Confidential Information*** - Any information for prospective Multiplan clients, current Multiplan clients, or former Multiplan clients, including without limitation: enrollment data, benefit plan designs, marketing plans, financial information, or any information that, in good faith, should be treated as confi

Third-Party personnel do not require access to any MultiPlan systems, or the business engagement poses a low-risk to MultiPlan.

**Material Vendor** - An authorized Third-Party that may have access to MultiPlan's computer environment, or non-production and masked data or the Third-Party may have access to Private Data, based on the contracted services between MultiPlan and the Third-Party.

**Medicare Advantage Vendor** - An authorized Third-Party that provides contracted services to MultiPlan is considered a downstream entity if: (1) exposed to (or accesses) Medicare Advantage client data or PHI; (2) provides services that may be required under the Medicare Advantage clients' contract with CMS, or program, regulations; or (3) is in a position to directly impact (or interact) with Medicare Advantage enrollees. Business Owners notify MultiPlan's Compliance Officer (and the Third-Party risk management committee) if the Business Owner believes a Third-Party fits into the foregoing definition and ensure the Third-Party Downstream Entity Questionnaire is completed, located in the Third-Party Due Diligence Form. The Compliance Officer will make the final determination of whether the Third-Party is a Medicare Advantage Downstream Entity based on answers given in the Third-Party Downstream Entity Questionnaire.

**MultiPlan Proprietary Information** - All MultiPlan information, including without limitation: information regarding MultiPlan products and services, markets, network provider payment rates, utilization management criteria, protocols, policies and procedures, and any other trade secrets, intellectual property, or other proprietary information that MultiPlan considers confidential.

**Personally Identifiable Information ("PII")** - Any information (or data), under applicable U.S. privacy and security laws that may be used on its own, or with other information, to identify, contact, or locate a single individual, including without limitation: a person's social security number, age, military rank, marital status, race, salary, home (and office) phone numbers, and medical and financial information, whether transferred in writing, orally, electronically, or by other means, without regard to whether the information is stored in hard copy, electronically, or otherwise.

**PHI Subcontractor** - An authorized Third-Party that has been engaged by MPI to perform services on its behalf and as part of the service engagement, the PHI Subcontractor may come into contact with PHI or PII, on a "need-to-know" basis, to perform the contracted services.

**Protected Health Information ("PHI")** - Individually Identifiable Health Information that is transmitted by electronic media, maintained in electronic media, or transmitted or maintained in any other form or medium as defined by 45 C.F.R. §160.103.

**Provider Confidential Information** - Any information about providers, who apply to participate in the MultiPlan network, regarding current (or former) MultiPlan participating providers, including without limitation:

- rxork, regarding current (or former) MultiPlan particitm (i)-26.-26.7 (c)h7 (i)5083 (m)-7 -1.13 (.7 ( )7.3.5 (i)-2 ( w)

a contractual business relationship, including a PHI Subcontractor, Material Vendor, Medicare Advantage Vendor, QHP Vendor, and Incidental Vendor.

***Third-Party Due Diligence Questionnaire*** – A questionnaire that provides a detailed description of all services provided by the Third-Party and identifies the Third-Party's risk classification.