



Commonwealth
PAIN & SPINE

Code of Conduct



Letter from the Chief Executive Officer

Commonwealth Pain & Spine takes great pride in the expert care we provide to our patients and the difference this care makes in their quality of life. The entire CP&S team is committed to providing patient satisfaction and overall clinical outcomes that far exceed the expectations of the medical community, referring physicians, and our patients. We are equally committed to conducting our business activities in compliance with our policies and procedures, applicable laws and regulations, and this Code of Conduct.

Our Code of Conduct is central to our guiding principles and is an integral part of the CP&S Compliance Program. Our Code guides our decision making and assists us in making the right choices in our daily work.

Full compliance with the CP&S Code of Conduct is essential. We ask each of you; our employees, our providers, our executive team, our managers, our contractors, our vendors, and all other parties providing services for or on behalf of CP&S; collectively known as our "Team Members;" to make a personal commitment to read, understand, and follow the Code.

If you do not understand the Code, if you are not sure how to apply it, or you encounter a situation that you think may violate its provisions, you can;

- Contact your supervisor.
- Our Chief Compliance Officer, Lori Hayden, (502) 641-3404, lhayden@mypainsolution.com.
- Or leave a confidential message on the CP&S Compliance Hotline (502) 861-5959, commonwealthpaincompliance@gmail.com.

There is no retaliation for asking questions, raising concerns, or reporting possible improper conduct in good faith.

Thank you for your ongoing support of CP&S and our commitment to making the right choices. Working together, we will continue to promote CP&S as an industry leader in interventional pain management and social responsibility.



Jeff Ellison

Chief Executive Officer

Commonwealth Pain & Spine

Letter from the Chief Compliance Officer

Commonwealth Pain & Spine's success depends on our Team Members; we rely on your exceptional work ethic, your personal integrity, and your professional obligation to provide excellent care to our patients. We also rely on our Team Member's support to make the Compliance Program effective; by reporting potential legal or ethical issues, and by acting with integrity in all that you do.

In addition to your good judgment, the Code of Conduct is your guide to making appropriate decisions with respect to CP&S. We trust in our Team Members and depend on you to make CP&S the best place to work, the best place for patient care, and the best interventional pain management facility in the nation.

At CP&S, we have an open communication policy; we value your insights and we learn important details from our Team Members every day. We protect our Team Members and your open communication by strictly enforcing our non-retaliation policy.

The Code is not meant to cover every possible situation, or every law or regulation that applies to your work environment, so we have policies, procedures, standards, and training for additional instruction. You may ask your supervisor, the Compliance Department and Human Resources for further information.

Please feel free to reach out to me if you have ideas for our improvement, or if you have questions, or concerns; lhayden@mypainsolution.com (502) 641-3404. You can also choose to leave a confidential message on the CP&S Compliance Hotline (502) 861-5959 or our confidential email at commonwealthpaincompliance@gmail.com

Lori M. Hayden, JD CHC

Chief Compliance Officer

Commonwealth Pain & Spine



"Compliance to the Code of Conduct is everyone's responsibility."

Code of Conduct Statement

Commonwealth Pain & Spine is committed to providing compassionate and comprehensive interventional pain management care for our patients. We are committed to conducting our clinical operations and business affairs with integrity and transparency, based on sound legal, professional, and ethical standards. We seek to provide a work environment that is safe, that encourages open discussions with no fear of retribution, and that promptly identifies and resolves issues.

Mission

Commonwealth Pain & Spine seeks to improve the lives of the patients in our care by respecting their pain and by passionately delivering to them only the most innovative, safe, responsible, and clinically proven pain relief possible.

We strive to “flip the script” from a surgery first delivery model to a less evasive and more cost-efficient care model for our patients.

Our team of world-class physicians, administrators and staff empathize with the needs of our patients. We recognize that their pain is exhausting, debilitating and limits their quality of life. We believe that relief from chronic pain is achievable in various degrees through our intelligent and multimodal team-based approach.

Vision

Commonwealth Pain & Spine is becoming the largest and most well-respected pain management network in our region by continuously:

1. Attracting, retaining, and nurturing a staff of the best and brightest pain management experts in the nation – physicians and support staff.
2. Committing to a patient-centered delivery model.
3. Responsibly serving the needs of our patients and leading efforts to reduce opioid dependency in the communities we serve; and
4. Making a commitment to research, development and execution of evolving, state-of-the-art procedures, treatments, therapies, and ancillary services.

Values

- Results
- Compassion and Empathy
- A “No-Nonsense” Approach
- Honesty and Transparency
- Responsibility and Accountability
- Teamwork
- Professionalism
- Patient Satisfaction



Compliance Program

The CP&S Compliance Program ("Program") is designed to promote a culture of ethical behavior and adherence to the many laws and regulations that apply to the healthcare industry.

The following elements form the core of our Program:

- **Written policies, procedures, and standards of conduct**
- **Effective training for employees**
- **Multiple options to report compliance concerns**
- **Internal monitoring and auditing**
- **Procedures to ensure unethical persons are not employed**
- **Consistent disciplinary enforcement**
- **Oversight of compliance efforts with a designated compliance department**
- **Prompt response to compliance concerns and appropriate corrective action**

The Compliance Department's mission is to be a trusted partner in fostering integrity, transparency, accountability, and a culture of compliance that protects the reputation, mission, vision, and values of CP&S and our Team Members.

Our Compliance Program is structured to comply with all applicable laws, regulations, and administrative requirements to prevent and detect fraud, waste, and abuse. The Program is administered by the Compliance Department and headed by the Chief Compliance Officer.

While detecting and preventing violations are key components of our Program, we also provide Team Members with resources, like this Code of Conduct, to help guide your conduct and answer your questions. In addition to the Code, our policies and procedures, our training program, and our clinical and business systems are in place to help our employees and providers be successful in preventing fraud, waste, abuse.



Purpose of the Code of Conduct

Our Code of Conduct helps Team Members make the right choices and enforces our commitment to always do the right thing; for our patients, our Team and our communities.

The Code is fundamental to CP&S's culture of addressing, preventing, detecting, and resolving issues that do not conform to our policies and procedures, our clinical and business practices, and Federal and State laws and regulations. Adherence to the Code ensures compliant behavior and promotes an overall atmosphere of ethical conduct.

Our Code of Conduct emphasizes CP&S's overall commitment to act with integrity in our actions. We treat patients, Team Members, and the 3rd parties in which we do business with the utmost respect.

The Code is not intended to replace but rather serve as a guide to supplement and support compliance with laws, rules, and regulations, as well as CP&S policies, procedures and standards of practice. Please review specific CP&S policies, standards of practice and/or procedures for additional guidance and details.

Who must follow this Code?

Our Code of Conduct applies to CP&S employees, executives, medical providers, managers, vendors, contractors, and all other 3rd party businesses and individuals providing goods or services to, or on behalf of, CP&S (collectively, "Team Members").

How to use our Code

The Code is a tool to help Team Members conduct your work in a legal, professional, and ethical manner. The Code identifies areas of risk, provides guidance to help you recognize and navigate legal and ethical issues, and provides you with information on how to report illegal or unethical conduct.

The standards described in this Code apply everywhere we conduct business. If you are unsure about which policies and procedures, or laws and regulations, apply to your job and actions ask your supervisor or the Compliance Department for help.

Team members' responsibility to follow the Code

Read and understand the Code of Conduct; if you have any questions about the Code or how it applies to you, speak to your supervisor or the Compliance Department.

Ensure your words and actions are consistent with the Code; seek guidance whenever you are in doubt about your duties and responsibilities.

Report any violation, or suspected violation, of the Code, policies and procedures, professional standards, and/or laws and regulations to your supervisor, the Compliance Department, or the Compliance Hotline.



Duty to Report Violations

Team Members must report known or suspected violations of this Code.

You have a responsibility to come forward with any information about violations, regardless of the identity or position of the suspected offender. Your reporting enables CP&S to investigate potential problems quickly and take prompt action to correct any issues.

Team Members need not be absolutely certain that a violation has occurred before making a report; a reasonable belief that a violation has happened is sufficient.

Your report should be made to your supervisor; the Compliance Department, Chief Compliance Officer, Lori Hayden, (502) 641-3404, lhayden@mypainsolution.com; or the confidential Compliance Hotline (502) 861-5959 or our confidential email at commonwealthpaincompliance@gmail.com.

Violations of the Code of Conduct

Team Members have a duty to report any actual or suspected violation of Code, including self-reporting, to the Compliance Department. Failure to report violations or suspected violations of this Code may lead to disciplinary action, up to and including termination of employment or termination of our business relationship.

Our “No Retaliation” Promise

Team Members that report violations of the Code of Conduct, or any other issues, in good faith can be assured that CP&S strictly enforces our no retaliation policy; you will not be disciplined, or subjected to retaliatory actions, as a result of making a report in good faith.

We take all reports seriously. If a violation is found, appropriate corrective actions will be taken, including disciplining those involved. We prohibit intimidating or retaliating against anyone who in good faith:

- **Makes a complaint, or reports a violation, to CP&S or any law enforcement or government agency.**
- **Cooperates or helps with a government or internal investigation.**
- **Conducts self-evaluations, audits, remedial actions, or other activities in support of our compliance program.**
- **Provides information to the government or CP&S about a breach of law or company policy.**

We will do our best to guard your privacy if you report a violation, raise a concern, or are involved in a complaint or investigation.

If you feel that you have been intimidated or retaliated against for reporting a concern, you should report the suspected intimidation or retaliation immediately by contacting:

Compliance Department, Chief Compliance Officer, Lori Hayden, (502) 641-3404, lhayden@mypainsolution.com; or the confidential Compliance Hotline (502) 861-5959 or our confidential email at commonwealthpaincompliance@gmail.com.

Principles to Guide Your Behavior

Team Members should adhere to high ethical standards when conducting your duties. We are a team and we rely on each other to make ourselves better, every day, for every patient. The following information is a guide to help you maintain high standards; this list cannot contain every action or duty, so we entrust you to perform at your highest capability and to ask your supervisor questions, if needed.

Be Honest and Act with Integrity

- Be truthful in verbal and in written communications, do not mislead others.
- Conduct your job with integrity and fairness; do not cheat, steal, plagiarize, or otherwise act dishonestly.
- When using information that is not your own, acknowledge who created the information.
- Be truthful in negotiations and business transactions.
- Deter the wrongdoing of others and encourage them to report wrongdoing, if not, report the action.
- Make complete and accurate entries in medical records, business records, or claims for payment.
- Disclose actual and potential conflicts of interest; Team Members should not be, or appear to be, subject to influences, interests, or relationships that conflict with CP&S.
- Do Not accept gifts or cash from outside sources that may influence your judgment in your duties at CP&S.
- Do Not accept payment for referrals you receive; or offer to pay, or actually pay, for referrals.
- Do Not misuse CP&S assets or use CP&S property for personal reasons.
- Do Not retaliate against another Team Member for voicing disagreement with an idea, proposed action, or for reporting a violation.
- Notify the Compliance Department immediately if the government or licensing board sanctions, threatens to exclude you, or excludes you from participation in any government-funded program or licensing board.

Act Responsibly & Be Accountable

- Take responsibility for your actions to serve as a role model.
- Act in accordance with your authorized role and level of responsibility; be aware of your personal limitations in knowledge and abilities, know who to ask for help.
- Keep up with new information and policy changes that may relate to your work.
- Learn from your and other Team Members mistakes and take responsibility for correcting your mistakes.
- Report problems that may place patients, Team Members or others at risk of harm.
- Notify the appropriate person of instances of non-compliance in a timely manner.
- Give vendors and 3rd parties the Code of Conduct and report if they do not comply with the Code.
- Strive for a win-win outcome with patients, Team Members, vendors, and all 3rd parties we encounter.
- Maintain the confidentiality of all information, written and verbal, related to patients and to our business practices.
- Do not use discriminatory, harassing, hostile, or profane language, verbally or in writing.
- Do not harass others physically, verbally, psychologically, or sexually.
- Do not discriminate on the basis of gender, religion, race, creed, color, citizenship status, disability, age, sexual orientation, national origin, or marital status.

Professionalism

- Identify yourself and your role to patients; wear your name tag.
- Dress in a neat, clean, manner and follow CP&S's policies about attire.
- Maintain a professional composure despite stress, professional pressures, or personal problems.
- Accept challenges as opportunities for improvement.
- Hold yourself and others accountable for performance targets and deadlines.
- Follow the ethical standards of your professional licensing organization.
- Resolve professional disagreements through respectful discussions.
- Treat those whom you serve, with whom you work, and the public with the same degree of respect, kindness, gentleness, and dignity you would wish them to show you.
- Include patient preferences for treatment to the fullest extent possible.
- Do not make political contributions or engage in political activity on behalf of CP&S or while on CP&S's premises.

Quality Patient Care

Our patients come first. Patients count on you to help them while they are in pain. Everything we do should support our commitment to deliver the highest quality of care to our patients. We provide innovative, interventional pain management care for our patients to help them feel better and to make their lives better. The treatments we provide our patients must be medically necessary and customized to treat each patient's individual needs.

Patients' Rights

Team Members shall respect patients' rights and assist patients and/or their legal guardians in understanding and exercising their rights and responsibilities.

Patients have the right to;

- Make decisions about their own health care; Patients have the right to accept, forego or withdraw from offered treatment at any time.
- Informed consent; Patients are informed of the pros and cons of treatment offered and may ask questions about their treatment.
- Understand information regarding their treatment options in the language and format the patient best understands.
- Privacy regarding their medical record; they may obtain their medical records in a timely manner by signing a release form.
- Representation under certain circumstances; a legally authorized representative may have the right to make decisions related to patient care. CP&S will verify that relationship and then work with such legally authorized representatives.

Patient Complaints

Should a patient believe that CP&S has failed to provide quality service, or we do not meet the patient's expectations, a patient may file a grievance by filling out a patient complaint form, or a Team Member may fill out the form on behalf of the patient, and send it to:

Lori M. Hayden, JD CHC
Chief Compliance Officer
223 Executive Drive, Louisville KY 40207
502-641-3404
lhayden@mypainsolution.com

Your supervisor has the Patient Complaint Form, please inform them about the grievance and ask for their assistance with the form. Refer to the Patient Complaint & Grievance Policy for more details.

Quality Patient Care at CP&S is

Safe: We avoid injuries to patients by using sound methods and our best efforts.

Effective: We provide services based on scientific knowledge, best practices, and cost-effectiveness.

Patient-centered: We involve patients in their treatment planning and we provide care that is respectful of our patients' preferences, needs, and values. CP&S acknowledges and respects individual patient's differences, such as personal background, race, color, creed, ethnic or cultural heritage, national origin, religious/spiritual views, communication needs, sex, age, marital status, veteran status, sexual orientation, disability, mental health issues, and developmental disability.

Skilled: Our Physicians are board certified in Pain Management and Anesthesiology. Our patients only receive care that has been ordered by our Physicians and our Advanced Practice Providers. Our staff is appropriately trained to provide quality care.

Timely: We strive to reduce wait-times and delays for patients.

Efficient: We avoid waste, including waste of equipment, supplies, ideas, and energy.

Informed: We are committed to providing clear, accurate, honest, and transparent information about the treatments we offer our patients so that they can make informed decisions.

Equitable: We treat all patients with dignity, respect, and courtesy. All patients should expect a high quality of care based on their unique health care needs.

Accountable: We report errors or deficiencies, even those that seem small or insignificant, to improve future care. CP&S has established policies and standards related to quality of care and monitor compliance with these policies and standards.

Privacy of Patient Information

Patients trust us with their highly personal, sensitive, and **protected patient health information (PHI)**. We respect and protect confidential information obtained from our patients. We take proactive measures to safeguard our documents, computers, and other data devices that contain patient information. We are committed to maintaining patient privacy in accordance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and other federal and state laws and regulations governing patient privacy and security.

HIPAA laws & regulations

We are committed to the following privacy and security principles:

- We provide our patients notice of our privacy and security practices in accordance with applicable laws and regulations;
- We protect PHI, including electronic patient data, through reasonable and appropriate technical and policy-based security measures;
- We access, use, and disclose only the minimum amount of PHI needed to perform our jobs;
- We use, disclose, or discuss PHI, including patient financial information, only when it is necessary to serve the patient or is required by law;
- We release PHI only as authorized by law or with the patient's documented permission;
- We require vendors and other 3rd parties doing business with CP&S to sign a Business Associates Agreement before they can access PHI while performing services on our behalf. Vendors and 3rd parties must comply with our privacy and security policies and all applicable laws and regulations regarding our patients' PHI;
- We do not discuss PHI with others who do not have a job-related need to know, including-workers, colleagues, family, and friends;
- We do not share our CP&S ID's, name tags, user IDs and passwords and we log-off when we step away from our computers. Team Members must immediately report lost or stolen ID's, name tags, user IDs and passwords or will be responsible for all activities performed with the lost or stolen items/information;
- We ask our patient for permission to speak about their care when family or friends are present;
- We are mindful of our surroundings when we are speaking to our patients so our conversation is not overheard;
- We do not mention, or refer to, our patients on personal social media or other public forums;
- We verify patient's current medical release forms and patient identification information to avoid mistakes when sending patient information to outside facilities;
- We properly store and dispose of PHI;
- We type "secure" in the beginning of the subject line of all emails that contain patient information so that the email is encrypted and we do not type PHI in the subject line;
- We only use CP&S-approved computers to access and store PHI;
- We report any unauthorized use or disclosure of PHI, all privacy concerns, and potential privacy violations immediately to our Compliance Department;
- We do not approach patients in public and only speak to our patients in public when spoken to first; and
- We do not allow unauthorized people into patient care areas.

Violation of Patients' Privacy

Our patients' privacy, including patients' information that is spoken, written, and stored in our software and server, is protected by federal and state laws. The laws apply to past, present, or future information about a patient, as well as deceased patients. These laws apply to Team Members individually, even after the Team Member no longer works for, or with, CP&S. We monitor electronic patient records to determine who is accessing the record and whether the access is consistent with job functions.

Violating our patient's privacy policies can lead to disciplinary actions up to and including termination of employment and termination of vendor contracts. If a Team Member fails to protect our patients' privacy and the Team Members is found guilty, the Team Members may face civil and criminal penalties. The violation may also result in the loss of a professional license or exclusion from the federal health care program. Additionally, the patient has the right to sue the Team Member for damages in civil court for the violation.

Compliance with Fraud, Waste & Abuse Laws

Team Members are expected to comply with all applicable laws, regulations, and contractual obligations affecting their job duties or business relationship with CP&S. If there is any doubt as to whether an activity is legal or proper, the Team Member should contact their supervisor, or the Compliance Department. Team Members should immediately report violations, or suspected violations of any law, rule, or regulation to their supervisor, regional administrator, or the Compliance Department.

CP&S serves patients that have Medicare and Medicaid, also known as federal health care programs. Federal and state laws and regulations that govern federal health care programs, like Medicare and Medicaid programs, are designed to prevent fraud, waste, and abuse. CP&S must only bill for legitimate, medically necessary services.

Fraud is wrongful or criminal deception intended to result in financial or personal gain. Fraud includes false representation of fact, making false statements, concealing information, or billing for services or supplies not provided.

Waste is thoughtless/careless expenditures, or mismanagement/abuse of resources. Waste includes incurring unnecessary costs resulting from inefficient or ineffective practices, systems, or controls.

Abuse is any action that violates laws, regulations, or ethical standards, in order to receive unfair gains.

Team Members must refrain from conduct that may violate the fraud, waste, and abuse laws. We educate our employees on the prevention of fraud, waste, and abuse by policies, procedures, and training. CP&S has an internal fraud and abuse audit program to investigate and report fraudulent activity.

Any questions related to a billing practice, or the legitimacy of a certain transaction, should be directed the Billing Department or to the Compliance Department so that all concerns can be reviewed and handled appropriately.

Failure to obey fraud, waste and abuse laws, rules and regulations can result in monetary fines, jail time and/or exclusion from the Medicare and Medicaid programs.

Team Members violating fraud, waste, and abuse laws and policies may be disciplined, up to and including, termination of employment or contracts; and Team Members may be reported to the appropriate authorities; including, if applicable, their professional licensing board.

False Claims Act (FCA)

FCA involves billing claims that providers know, or should have known, that the claims were false. False claims are not innocent billing mistakes.

False billing claims that are;

- For medical services not performed
- Upcoded medical services
- Not supported by the patient's medical record
- Part of a previously submitted claim
- Referrals made in violation of the Stark law or Federal Anti-kickback law

Team Members that knowingly submit false claims may be fined by the government up to three (3) times the amount of financial damage to the government plus a financial penalty for each claim. Additionally, Team Members may face criminal penalties for submitting false claims, including fines, imprisonment, or both, and exclusion from participating in federal health care programs. CP&S never knowingly presents false claims or knowingly retains overpayments. Policies and standards of practice are in place to detect and prevent fraud under the FCA. Team Members are required to immediately report all known or suspected violations of the FCA to the Compliance Department.

Anti-Kickback Statute (AKS)

The AKS was enacted to prevent healthcare providers from illegally paying or bribing other healthcare providers in exchange for new patient referrals. A **kickback** is an improper payment, gift, service, or item of value offered or received in return for increased business or patient referrals.

Criminal penalties and administrative sanctions for violating the AKS may include fines, prison, and exclusion from participation in the federal health care program. Monetary penalties for violating the AKS may include three (3) times the amount of the kickback.

CP&S conducts business dealings with referral sources in accordance with applicable laws and regulations. Our policies prohibit the accepting, requesting, or providing kickbacks of any kind. Team Members will not accept money, or any form of bribery, to refer patients to, or receive referrals from, outside medical providers. Team Members are required to immediately report all known or suspected violations of the Anti-Kickback law to the Compliance Department.

Physician Self-Referral (Stark Law)

The Stark Law was enacted to prevent physicians from referring Medicare or Medicaid patients to a healthcare business for services when the referring physician, or their immediate family, has a financial interest in the healthcare business, unless an exception applies.

The Stark Law contains exemptions that allow physicians to refer patients for in-office services, for example, physicians can refer patients to a laboratory that is owned and operated inside the physician's medical practice. The Stark law is a strict liability law, that means the law is enforced even if the physician did not intend to violate the law or wasn't aware they, or their employees, violated the law.

Penalties for violations of the Stark law include; denial to pay the claim, refund of previously paid claims, fines up to three (3) times the amount claimed or paid for each item or service and exclusion from federal healthcare programs.

CP&S conducts our business practices with physicians in conformity with the law and it is a violation of our policies to enter into arrangements with, or accept referrals from, physicians that would violate the Stark Law. Team Members are required to immediately report all known or suspected violations of the Stark Law to the Compliance Department.

Criminal Health Care Fraud Statute (CHCFS)

The CHCFS prohibits providers and healthcare businesses from lying and scheming to defraud a health care benefits program by:

- Obtaining (by means of false or fraudulent pretenses, representations, or promises) any of the money or property owned by, or under the control of, any health care benefit program.

Penalties for violating the CHCFS may include fines, prison, or both. Team Members are required to immediately report all known or suspected violations of the CHCFS to the Compliance Department.

Exclusion Statute

Excludes individuals and businesses from participation in all federal health care programs if they are convicted of any of the following offenses;

- Medicare or Medicaid fraud
- Patient abuse or neglect
- Felony convictions for other health care related fraud, theft, or other financial misconduct
- Felony convictions for unlawful manufacture, distribution, prescription, or dispensing controlled substances

Individuals and businesses may also be excluded for the following reasons:

- Misdemeanor convictions related to health care fraud other than Medicare or Medicaid fraud, or misdemeanor convictions for unlawfully manufacturing, distributing, prescribing, or dispensing controlled substances
- Suspension, revocation, or surrender of a license to provide health care for reasons bearing on professional competence, professional performance, or financial integrity
- Providing unnecessary or sub-standard services
- Submitting false or fraudulent claims to a federal health care program
- Unlawful kickbacks
- Defaulting on health education loan or scholarships

Excluded individuals and businesses may not participate in federal health care programs for a specific time period.

If a provider or business is excluded, then federal health care programs, including Medicare and Medicaid, will not pay for items or services that they furnish, order, or prescribe.

Team Members are required to immediately report all information that would cause a provider to be excluded from federal health care programs to the Compliance Department.

Civil Monetary Penalties Law (CMPL)

The CMPL authorizes the federal OIG to charge financial penalties or fines to individuals, or health care businesses, for a variety of health care fraud violations. Different amounts of penalties and fines apply based on the type of violation, and may include fines of up to three (3) times the amount claimed or paid for each item or service.

Examples of violations that may result in a penalty or fine for an individual or business includes:

- Presenting a claim for an item of service that was not performed, or provided, or that is false and fraudulent
- Violating the AKS
- Making false statements or misrepresentations on applications or contracts to participate in the federal health care programs.

Team Members are required to immediately report all information that would cause another Team Member to be penalized or fined under the CMPL to the Compliance Department.

Billing for Services

Our accurate and timely billing practices are essential to the success of our business. We take great care to ensure that the government payors, third-party payors, and patients are ***billed only for medically necessary services***.

We are committed to complying with all applicable federal and state laws and regulations for the timely, complete, and accurate coding and billing of our services, including the following principles:

- We bill only for medically necessary services provided to the patient that are documented in the patient's medical record and ordered by our physicians or Advanced Practice Providers.
- We assign billing codes, according to regulatory requirements and guidelines, that accurately represent the services provided and are supported by documentation in the patient's medical record.
- We implement integrated controls to prevent unbundling, upcoding, duplicate billing for the same service and other billing errors.
- We respond to billing and coding inquiries and resolve inaccuracies in previously submitted claims that are discovered and confirmed.
- We do not knowingly present, or cause to be presented, claims for payment that are false, fictitious, or fraudulent.
- We self-report, according to the applicable law if we find that a claim for payment was incorrectly presented for payment.
- Team Members may review CP&S billing and coding policies for further information or ask your supervisor for help.

Failure to abide by the billing and coding laws, standards of practice, and policies may lead to disciplinary action, up to and including termination. Team Members have a duty to report any unusual billing or coding practices, including violations of the FCA, to your supervisor, regional administrator or the Compliance Department.

Financial Records & Reports

Records serve as the basis for managing our business and are important in meeting our obligations to patients, staff, suppliers, and other individuals and companies. We maintain a high standard of accuracy and completeness in the documentation, reporting, and retention of our financial records. Our financial records are also necessary for compliance with tax and financial reporting requirements. We cooperate fully with internal and external auditors and any regulatory agencies that examine our books and records.

CP&S's financial matters and our financial reporting systems are confidential. Team Members are entrusted with this information and will not reveal any financial information to any outside parties without permission from our COO.

Team Members have a duty to report any irregularities or inaccuracies with our financial records and reports to their supervisor, the COO or the Compliance Department. Failure to report irregularities, creating fraudulent records, amending records without permission, and taking or using financial records outside the scope of your job duties, may lead to disciplinary action, up to and including termination of employment or termination of our business relationship.

Accurate Records

Accurate records are important for CP&S's legal, financial, and other reporting obligations. Team Members are responsible for ensuring that all financial reports, accounting records, business reports, expense accounts, time sheets, and other documents are accurate and clearly represent the relevant facts of a transaction.

Fraudulent accounting or documentation is a violation of CP&S's policies and applicable laws. Team Members should not make false or misleading entries in reports or other records. Team Members have a duty to report any unusual, false or misleading entries in reports to your supervisor, the COO, or the Compliance Department.

Team Members that violate the accurate record principles, fail to retain records, destroy records, and fail to report known or suspected violations of these principles, may be disciplined, up to and including termination of employment or termination of our business relationship.

Audits, Investigations & Legal Proceeding

Today's healthcare environment involves increased governmental monitoring of fraud, abuse, and waste of federal healthcare program funds through investigations and payment recovery initiatives. Additional investigations may be conducted related to finances, prescribing controlled substances, and other business-related issues.

CP&S understands that investigations and audits are a part of doing business in the healthcare industry. The fact that a government agent or law enforcement officer requests information from our company does not mean that a law has been broken. CP&S cooperates and assists in all investigations and rely on our Team Members to help with investigations while protecting CP&S's rights.

Team Members shall immediately inform CP&S Supervisors, Regional Administrators and Compliance Department if any investigation agency contacts our Team Member concerning CP&S operations. The Chief Compliance Officer shall be involved in coordinating and responding to investigations.

Investigations targeting fraud, waste, abuse, or any of our operations, may include:

- subpoenas and requests for correspondence and documents;
- requests for appointments for onsite interviews or audits;
- subpoenas and requests for medical record documentation;
- entering our place of business requesting information or an individual, and
- any method of personal communications, interviews, or queries with CP&S Team Members during or outside normal work hours and locations.

Guidelines for Responding to Investigators

1) Immediately notify the Chief Compliance Officer/In-house Counsel Lori M. Hayden at 502-641-3404, day or night, if a law enforcement officer, attorney, or a representative of any government agency:

- Enters your CP&S location asking for information or documentation, or
- Approaches you for information or questioning, at the office, at home or any location, regarding CP&S.

2) ALWAYS request identification from the agent. Photocopy, or take a picture, of the agent's identification and other documents presented, i.e., subpoenas, warrants.

3) Explain to the agent you will be happy to cooperate, but you must first notify your supervisor and the Chief Compliance Officer to verify identity and legal documents presented before answering questions or providing documents. Inform the law enforcement officer, attorney, or a representative that you, as an employee of CP&S, are represented by an attorney and you must first consult with CP&S's attorney before complying with their request.

4) If asked to be interviewed or questioned, you have the right to determine the time and place of the interview, but do not in any way attempt to deter or obstruct a governmental investigation.

CP&S takes no position on whether you should participate in an outside interview. Do not become intimidated or bullied into talking with an investigator. You may request the Chief Compliance Officer/In-house Counsel, or other legal counsel be present during an interview. Only authorized CP&S executives can accept requests for information on behalf of the company. If you are asked to accept a legal document or to share CP&S information of any kind for any reason, immediately consult with your supervisor, regional administrator or the Compliance Department and follow the instructions given. For further information please consult the External Inquiry and Investigation policy.

"Compliance to the Code of Conduct is everyone's responsibility."

CP&S Business Practices

CP&S is committed to achieving great success by fair and ethical means. CP&S accurately represents itself in all business relationships and will not engage in any fraudulent activity or scheme. CP&S selects contractors, suppliers, and vendors based on quality, price, delivery time, service excellence and other valid business needs. CP&S will only work with individuals and companies with high ethical standards in their business practices. We rely on our Team Members to do the right thing and operate our business, or do business with CP&S, while upholding the highest ethical standards.

Anti-Trust Law

Antitrust laws are designed to create a level playing field in the marketplace and protect fair competition. Antitrust laws discourage price fixing because it reduces choices for patient and increases prices for medical services. *Competition in the healthcare industry benefits patients* because it helps contain costs, improve quality, expand choices, and encourage innovation.

CP&S conduct our operations ethically, honestly, with integrity and do not violate anti-trust laws. We do not enter into agreements that negatively impact competition or create monopolies. We are committed to achieving success by competing fairly.

Team Members should not engage in discussions or agreements with competitors to establish, fix or control prices; to allocate or carve-out service areas or patients; boycott certain payors or suppliers; disclose confidential information; or engage in practices that are deceptive or otherwise unfair.

Team Members should discuss any concerns you have regarding a particular action or arrangement that may violate anti-trust laws with the Compliance Department.

Business opportunities

Business opportunities that are offered to you through your relationship with CP&S are to be disclosed to CP&S. You must disclose the business opportunity to the COO or Compliance Department.

Team Members have a duty to report any known or suspected non-disclosure of business opportunities to the Compliance Department.

Anti-Corruption & Anti-Bribery

CP&S is committed to the highest standards of conduct and we do not tolerate bribery or corruption within our company. **Bribery** is the offering, or receiving, of anything of value, either directly or indirectly, to or from an individual or company, to secure an improper advantage.

CP&S has a zero-tolerance approach to bribery and corruption. We will not solicit or accept anything of value from any person or company that may compromise or appear to compromise our business decisions and we will not offer bribes to secure an unfair business advantage.

Our Vendors and other third parties we do business with are also prohibited from giving, offering, or promising anything of value to any individual or company for the purpose of bribing or corrupt intent.

Team Members are responsible for maintaining our reputation and for conducting business honestly and professionally. Team Members will not request or accept any payment or anything of value from vendors, contractors and other 3rd parties that could influence, or could be perceived as influencing, the performance of their duties at CP&S.

Team Members are required to immediately report all information regarding another Team Member giving or accepting bribes or acting in a corrupt manner to the Compliance Department.





Conflicts of Interest

CP&S conducts our business dealings with transparency. A **conflict of interest** arises when a Team Member's personal interests, or the interests of their immediate family, compete against CP&S's interests. A conflict of interest may violate laws relating to kickbacks.

Our Team Members are expected to remain free of conflicts of interest so they can perform their duties at CP&S in a transparent and ethical manner. Team Members will not use their positions to profit personally, or to assist others in profiting, in a way that negatively affects CP&S.

Anytime a conflict of interest arises, Team Members will advise the Compliance Department of any potential conflict of interests affecting CP&S. If a conflict of interest exists, it must be fully disclosed to the Compliance Department. Appropriate action will be taken to evaluate and resolve the conflict consistent with CP&S policies.

Outside Employment & Other Activities

CP&S employees may work or volunteer for businesses and organizations outside of their CP&S duties as long as it does not adversely affect their job performance, create a conflict of interest or, if applicable, violate the terms of their employment contract.

CP&S employees should not engage in outside work-related activities during CP&S work hours. Team Members cannot use CP&S's equipment, supplies, or information, including but not limited to, client lists, financial reports, business or strategic plans, vendor lists, fee schedules or reimbursement rates, or marketing information, in connection with any non-CP&S activities

Confidential Business Information (CBI)

CP&S is more than an excellent provider of interventional pain management, we have developed unique processes and documents that allow us to operate in a highly efficient manner. CBI includes all non-public information relating to CP&S, our business operations, our intellectual property and our operation methods. CP&S's confidential business information includes our intellectual property; the information, processes and documentation we create. CBI is part of our company assets.

Once CBI is shared, it cannot be unshared. In order to protect our CBI, Team Members will only access enough information to perform their work duties, but no more. Team Members shall maintain the confidentiality of our CBI entrusted to them and comply with all applicable state and federal laws and company policies relating to access, use, and disclosure of CBI.

Please do not discuss CBI with anyone outside of authorized Team Members. You can be held responsible for the disclosure of CBI by any person you told, including family members, friends, or acquaintances. Team Members who access CBI that is not relevant to your job duties, or disclose CBI to others, will be disciplined, up to and including termination of employment or termination of our business relationship.

If you leave or are no longer affiliated with CP&S, all CBI remains with the company; if you share CBI after you leave CP&S, we can pursue a civil legal action against you. Team Members have a duty to report any actual or suspected violation of our CBI policies, including self-reporting if they share CBI, to the Compliance Department.

Business opportunities that are offered to you through your relationship with CP&S are to be disclosed to CP&S. You must disclose the business opportunity to the COO or Compliance Department.

Team Members have a duty to report any known or suspected non-disclosure of business opportunities to the Compliance Department.

Appropriate Use of CP&S Property & Assets

Team Members should work together to use our financial resources in an ethical manner. CP&S assets are maintained for business and patient care related purposes only; it is each of our duties to use supplies in a manner that supports financial stability and positive environmental impact. Each Team Member is responsible to help preserve, and use wisely, CP&S's assets including; equipment, computers, company records, software, information and telecommunications systems, furniture, supplies, credit cards and your time performing your duties.

Team Members will follow our policies and standards of practice regarding asset preservation and reporting, including:

- Accurately accounting for spending of resources.
- All transactions will be recorded to help CP&S prepare financial statements and account for our resources; and
- Team Member will be permitted to access and use our assets by approval of their supervisor or COO.

Team Members have a duty to report any irregularities or other situations that could lead to loss, misuse, or theft of CP&S assets to their supervisor, the COO, or the Compliance Department.

Communication Systems

CP&S communication systems, such as the telephone, electronic mail, internet, and voice mail systems are the property of CP&S and are to be used for business purposes. Reasonable personal use of CP&S communications systems is permitted; however, such communications are not private or confidential. CP&S reserves the right to access, monitor and disclose, without notice, the contents of any communications through CP&S communication systems, including information in connection with any non-CP&S activities.

Political Activities

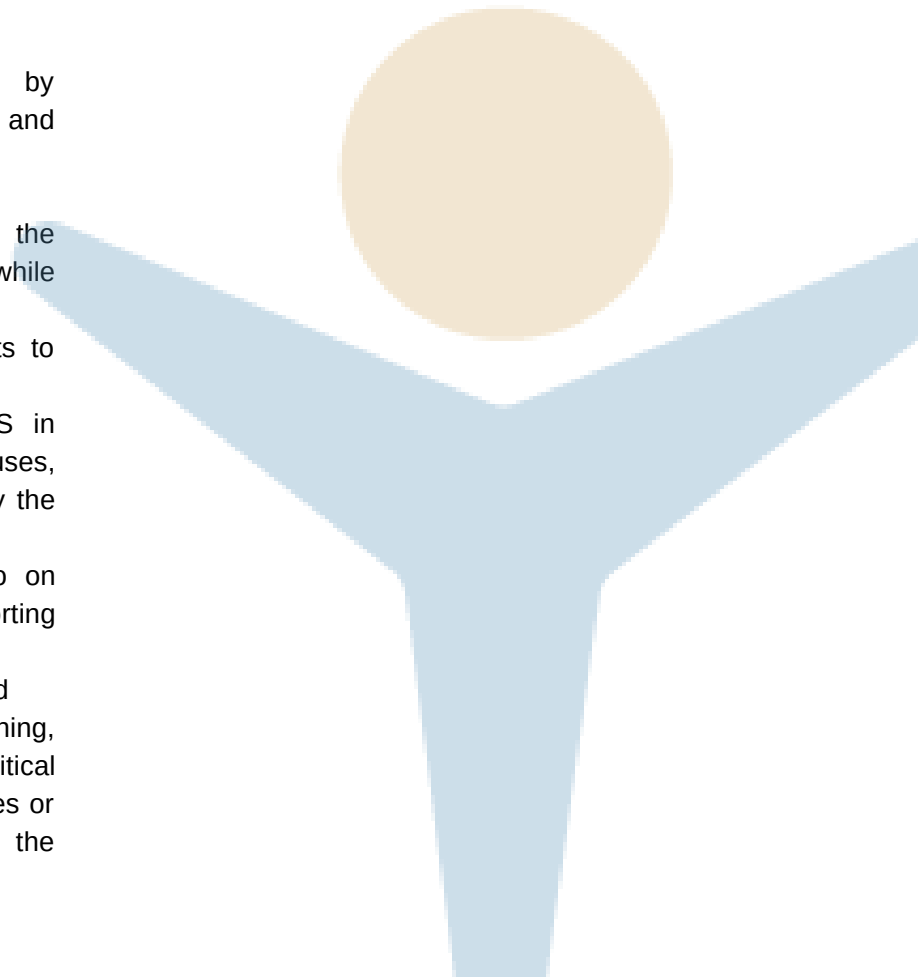
Team Members may exercise civil liberties by advocating or supporting political candidates and causes of choice outside of CP&S.

Team Members will not engage in or promote the following activities while at CP&S or while representing CP&S during events and activities;

- We do not use company time or assets to perform political activities;
- We do not speak on behalf of CP&S in support of political candidates or causes, unless permission to do so is granted by the COO;
- We do not use CP&S's name or logo on letters, or other written materials, supporting political candidates or causes;
- We do not distribute political literature; and
- We do not wear political campaign clothing, buttons or symbols representing a political candidate or cause, excluding health initiatives or those defined as "protected activities" by the National Labor Relations Board.

Social Media and Networking

CP&S takes no position on a Team Member's decision to start or maintain a personal blog or participate in other social networking activities, but Team Members may not participate in social media activities during work hours. Team Member may not post confidential patient or business information on social media or otherwise disclose CBI.



Marketing and Advertising

We practice honest, straightforward, and non-deceptive marketing and advertising methods. CP&S is committed to the highest standards of business ethics and integrity in the manner we present ourselves to the public.

Consistent with applicable laws and regulations, we may use marketing and advertising activities to

- Educate the public about interventional pain management.
- Inform the public about the services we provide.
- Notify the public about the health insurance plans we accept.
- Advertise to recruit new Team Members.

We do not offer patients anything of value or unlawfully reduce our prices to influence patients to use our services. We comply with HIPAA regulations and will not disclose patients' protected health information for marketing purposes. We do not disclose patients' personal data like name or age, post patient testimonials about our services, use patients' image without their written consent. We do not respond to media requests about our patients.

Vendor & 3rd Party Relations

Our relationships with vendors, suppliers, contractors, and consultants are vital to our companies' success. It is important that our business relationships with vendors and 3rd parties be conducted in a fair and honest manner. We require all vendors and 3rd parties to be familiar with and abide by our Code of Conduct.

Our vendors, and other 3rd parties in which we have a business relationship, must disclose any apparent or perceived conflict of interest; specifically, any family, personal, or financial relationships affecting CP&S. No vendor or vendor representative will be given special favors based upon a family relationship to a CP&S employee or medical staff member.

Our vendors, and other 3rd parties in which we have a business relationship, must adhere to federal and state FCA and be committed to compliance with all applicable laws, regulations and our policies. Vendors and 3rd parties may not provide anything of value to a Team Member that could influence, or be perceived as influencing, the judgment of the Team Member in the execution of his/her duties to do business with the vendor and 3rd party. Vendors must refrain from offering business courtesies and gifts that do not conform to CP&S's standards, policies, and applicable laws and regulations.

Vendors and 3rd parties may not distribute brochures, coupons, or other material on CP&S property without permission. CP&S standards and policies must be followed for arrangements involving samples, demonstration equipment, or delivery of vendor products at no charge. Vendors and 3rd parties who fail to comply with CP&S standards, CP&S policies, and applicable laws, and regulations will be subject to disciplinary action up to and including permanent loss of CP&S business privileges.

Harassment

CP&S is committed to creating and maintaining a diverse and inclusive workforce free of discrimination, harassment, and conduct that can be considered harassing, coercive, disruptive, or illegal.

Discrimination is the unjust or prejudicial treatment of different categories of people, especially on the grounds of ethnicity, age, sex, or disability.

Harassment can be verbal, physical, or visual behavior where the purpose or effect is to create an offensive, hostile, or intimidating environment. Harassment can be in the form of inappropriate, offensive, hostile or intimidating: actions, jokes, written words or pictures, insults, emails, voicemails, verbal or written comments, social media comments, or other forms of communication.

Harassment can also be unwelcome conduct based on race, color, national origin, religion, sex, disability, age (40 years of age or older), genetic information, sexual orientation, gender identity, pregnancy, marital status, familial and/or parental status, income derived from a public assistance program, and/or political beliefs or additional protected classifications covered by other Federal laws, and retaliation for previous actions.

Sexual harassment is behavior where the purpose or effect is to create an offensive, hostile, or intimidating environment, and includes unwelcome conduct such as:

- sexual advances;
- requests for sexual favors or dates;
- unwelcome remarks about an individual's appearance;
- discussions, remarks, or jokes of a sexual nature; and
- other verbal or physical harassment of a sexual nature.

CP&S has **zero-tolerance** to any form of harassment, including verbal or physical conduct of a sexual nature that interferes with or creates a hostile or offensive work environment.

CP&S has **zero-tolerance** for workplace violence including theft, stalking, terroristic threatening, hate crimes, or any type of violence directed to any CP&S Team Member, patient, or 3rd party.

Team Members who observe or experience discrimination, harassment, sexual harassment, or violence will report the incident to their supervisor, People Resource Center or the Compliance Department. Team Members that violate our Harassment and Workplace Violence policy will be disciplined up to and including termination of employment or termination our business relationship. CP&S may report the discriminatory, harassing, or violent actions to the offender's licensing board, law enforcement, and may seek other legal actions. Please contact the People Resource Center for further information.

Equal Opportunity

CP&S is a culturally diverse business and believes that the ***fair and equitable treatment*** of our patients, Team Members and all 3rd parties is critical to fulfilling our vision and goals. We are committed to the values of equity, inclusion, and equal opportunity for each other and those we serve. CP&S will treat everyone with dignity and with respect regardless of race, religion, color, sex (including pregnancy, gender identity and sexual orientation), national origin, age, genetic information, or disability.

CP&S conducts our employment practices free from discrimination. We promote an atmosphere in which we can discuss concerns about diversity and equal opportunity without fear of retaliation or retribution. If you believe you have been treated unfairly, or you have information about another Team Members being treated unfairly, please report your concerns to your supervisor, People Resource Center or the Compliance Department. Team Members that are found to discriminate against another Team Member, patient, or other 3rd party, will be disciplined, up to and including termination of employment or termination of our business relationship.

Workplace Safety

CP&S is committed to providing a safe and healthy environment for patients, Team Members, and 3rd parties. We have implemented policies and procedures designed to protect Team Members from potential workplace hazards and help ensure compliance with occupational health and safety laws and regulations. Team Members are responsible to be familiar with and understand how these policies and procedures relate to their specific job duties. We are all responsible to adhere to applicable laws and accepted practices regarding the safe use of cleaning products, equipment, products, and all other hazards in the workplace.

If you are involved in, or see, an accident that injures a patient, employee, or visitor; or causes damages to our equipment or property, you must immediately report the accident to your supervisor. Team Members will report a violation of an environmental, health, or occupational safety rule immediately to their supervisor or the Compliance Department.

Drug-Free Workplace

CP&S believes that a safe working environment requires that Team Members be unimpaired by illegal drug use and alcohol consumption. Possession or consumption of illegal drugs and alcohol is prohibited while working.

Please consult our Drug-Free Workplace Policy if you have any questions, including information about our employee assistance program for Team Members that need help with a substance abuse issue. Please contact the CP&S People Resource Center for further information.

Team Members have a duty to report illegal drug use and alcohol related incidents to the Compliance Department.

Employee Assistance Program (EAP)

Our EAP provides professional help to our staff and their household members with a variety of issues, including, but not limited to; emotional difficulties, stress, marital distress, alcohol or illegal substance problems, relationship and family conflicts, and financial and legal issues. Our staff can contact the EAP directly, at no cost, and all correspondence is confidential. Please contact the CP&S People Resource Center for details.





ACKNOWLEDGMENT

Team Members,

Please read the statement below, contact your supervisor or the Compliance Department if you have any questions or comments, then sign and date.

I have received and reviewed CP&S's Code of Conduct. I have had the opportunity to ask questions, I understand the Code, and I agree to comply with the standards contained in the Code and all related policies and procedures as is expected as part of my continued employment or association with CP&S. I acknowledge that the Code is a statement of principles for individual and business Team Member conduct and does not constitute an employment contract. I will report any potential violation of which I become aware promptly to my supervisor, Compliance Department, Compliance Hotline, or any other contacts stated in the Code. I understand that any violation of the Code of Conduct or any CP&S policy is grounds for disciplinary action, up to and including termination of employment or termination of our business relationship.

Name: (Please Print) _____

Department/Company: _____

Signature _____

Date: _____

Instructions for Vendors & 3rd parties: Please return the acknowledgement to your CP&S contact or the Compliance Department: Lori Hayden, lhayden@mypainsolution.com

Contact Us:
mypainsolution.com
info@mypainsolution.com
(502) 855-7200