



Board-Management Policy

NUMBER

B03-004

POLICY TITLE	BOARD APPROVAL	SLGA APPROVAL	EFFECTIVE DATE
Code of Conduct & Ethics - Directors	November 4, 2020	March 24, 2022	30 Days after Final Approval

1. Preface

- 1.1 The Saskatchewan Indian Gaming Authority (SIGA) Board is committed to conducting business in an environment in which:
- a) Directors act in the best interests of SIGA while meeting at all times their stewardship responsibilities as trustees of SIGA's assets;
 - b) The Board operates in a businesslike and financially responsible way, measuring and monitoring corporate operations to continuously improve performance; and
 - c) All parties recognize the Directors' role within SIGA to provide leadership and direction respecting conduct and ethics.
- 1.2 Although some Directors may be appointed to the Board as a representative of an interest group or region, Directors continue to hold the same duties to SIGA, even though those duties conflict with the wishes of the interest group or region. **Directors must clearly understand that, even if appointed by an interest group, their primary duty is to act in the best interests of SIGA.**
- 1.3 The guidelines set out in this policy are not intended to be exhaustive. If issues outside the explicit guidelines arise, they should be addressed in accordance with the general principles in this document or through the exercise of sound business and ethical judgment. Directors may seek guidance from the Governance Committee or Internal Auditor. These guidelines are supplementary to any statutory or common law duties and obligations, or any other standards of conduct applicable to Directors.

2. Policy Objective

- 2.1 The overall purpose of this policy is to assist the Board to more effectively fulfill its statutory and fiduciary obligations and maintain a reputation for the highest standards of public trust and confidence in serving the interests of all stakeholders. Specific policy objectives include:
- a) To safeguard corporate property.
 - b) To protect SIGA's reputation.
 - c) To protect SIGA employees.
 - d) To prevent conflicts of interest.
 - e) To protect the corporation and Directors from potential lawsuits.



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3. Definitions

- 3.1 Corporate Property – includes real and tangible items such as land, buildings, furniture, fixtures, equipment and vehicles, and financial resources (e.g. cash) and intangible items such as data, computer systems, reports, information, corporate opportunities, proprietary rights, patents, trademarks, copyrights, logos, name and reputation.
- 3.2 Integrity – encompasses honesty, probity and loyalty.
- 3.3 Family Member – means spouse (includes common law as defined by legislation), domestic partner, brother, step-brother, sister, step-sister, parent, step-parent, child, step-child, grandparent, step-grandparent, grandchild, step-grandchild, and great grandparents, uncles, aunts, nieces, nephews, first cousins, spouse's grandparents, brothers-in-law, sisters-in-law, son-in-law, daughter-in-law, mother-in-law, and father-in-law. Also includes family relationships resulting from First Nations' customary adoptions, and persons living in the Director's household for long periods of time and whom the Director supports.
- 3.4 Close Personal Relationship: includes, but is not limited to, business or commercial relationship, financial relationship, sexual/romantic relationship.
- 3.5 Conflict of Interest - a situation in which a Board Member, either for himself/herself or some other person(s), organization, or corporation, attempts to promote a private or personal interest or an interest of another organization or corporation, which results or appears to result in:
 - a) An interference with the objective exercise of SIGA duties or responsibilities;
 - b) A gain or an advantage by virtue of his/her position with SIGA.
- 3.6 Related Party – for the purpose of this policy, shall be Members as set out in SIGA's corporate bylaws, and any organization that is owned, controlled, or represented by a Member.
- 3.7 Related Party Transactions - shall include all material transactions entered into between SIGA and a related party. For the purpose of this policy, 'material' shall mean having an annual benefit to the related party that is equal to or greater than \$150,000.
- 3.8 Political Activity – includes carrying on any activity in support of, within or in opposition to a political party; carrying on any activity in support of or in opposition to a candidate before or during an election period; or seeking nomination as or being a candidate in an election before or during the election period.



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4. Policy Statement

- 4.1 Directors are required to observe the highest standards of ethical conduct, consistent with the values of integrity, impartiality and discretion, both within and outside SIGA, and to:
- a) Act honestly and in good faith, with a view to the best interest of SIGA;
 - b) Promote a corporate culture in which ethical conduct is recognized, valued and exemplified by everyone;
 - c) Not involve themselves in any actual or potential conflict of interest situations, or situations which appear to be conflicts of interest, except as permitted by the SIGA Board.

5. Application

- 5.1 This policy applies to all Directors of SIGA.

6. Policy Requirements

6.1 Personal Conduct

Directors must refrain from conduct, both within and outside SIGA, which is not favorable and places SIGA's reputation at risk because of the service SIGA provides. A Director's personal conduct within and outside SIGA must not discredit SIGA, or raise doubts about the Director's integrity and ability to perform their governance responsibilities.

6.2 Signed Declarations

- a) Every Director must complete a Director's Declaration Form when appointed to the Board, on an annual basis thereafter, and more often in the event a potential conflict of interest situation arises:
 - i) Detailing all financial or other interests which constitute a conflict of interest;
 - ii) Listing all business ventures and/or directorships the Director was engaged in within the last 12 months, and all business ventures and/or directorships the Director is engaged in, that may constitute a conflict of interest or potential conflict of interest;
 - iii) Disclosing any business relationships, family relationships, or close personal relationships that the Director may have with one or more employees of SIGA and/or with one or more Directors of SIGA;



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- iv) Disclosing all contracts that the Director has entered into with SIGA (both Board-approved and non-Board-approved), either directly or through family members;
 - v) Disclosing the Director's relationship with 'related parties' as defined in section 3.7 of this Policy, including, but not limited to, employment status;
 - vi) Disclosing any employment status that the Director may have with other stakeholders and a related party.
 - vii) Disclosing all contacts that the Director has with vendors or potential vendors of SIGA.
- b) The signed Director's Declaration Forms shall be kept on file by the Corporate Services Coordinator. The Corporate Services Coordinator shall provide the Governance Committee with copies of all signed Declaration forms, for review.
 - c) The Governance Committee shall review all Directors' Declaration Forms to ensure complete and accurate disclosure of all conflict of interest situations. The Committee shall make appropriate recommendations to the Board. Decisions of the Board shall be final and govern with respect to the matter in question, and such decisions shall be made by a majority of the votes cast on the matter in question, in accordance with the Bylaws.

6.3 Conflict of Interest

- a) Directors cannot be employees of SIGA and cannot be closely related to SIGA management by significant economic, family or other ties.
- b) Directors must be aware of and remain free from interests or relationships which are, or appear to place their interest or the interest of an outsider above the interest of SIGA or appear to have a detrimental effect on the business operations of SIGA.
- c) Notwithstanding Section 1.2, Directors who find themselves in a real or perceived conflict of interest situation or activity shall immediately withdraw from that situation or activity until the Governance Committee reviews the situation and makes an appropriate recommendation to the Board, and the Board renders its decision.
- d) Directors must not use third parties in an attempt to avoid or disguise conflict of interest situations.
- e) Where one or more Directors feel that another Director is in a conflict of interest situation, the matter must be reported to the Governance Committee for review



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and an appropriate recommendation to the Board. Decisions of the Board shall be final and govern with respect to the matter in question, and such decisions shall be made by a majority of the votes cast on the matter in question, in accordance with the Bylaws.

- f) Management of Private Affairs/Investments/Business Interests
 - i) Directors are expected to arrange their private and financial affairs in such a manner that no possible conflict of interest exists or appears to exist.
 - ii) If a Director perceives that a conflict of interest exists, or has the potential to develop as a result of his/her dealings or the dealings of a person defined in Section 3.3 or 3.4, he/she must follow the process outlined in the Code of Conduct & Ethics Policy.
- g) Outside Activities
 - i) Directors who engage in outside activities that call into question, or may be perceived as calling into question, their ability to carry out their duties in an impartial manner are in a potential conflict with their duty to SIGA.
- h) Acceptance of Cash Gifts or Prizes
 - i) Directors must not solicit or accept any cash or major gift(s) from anyone where these would (or might appear to) improperly influence the Director in the performance of his/her duties for SIGA. Gratuities and gifts are defined as items of value or services intended for the exclusive benefit of a Director.
 - ii) Directors are allowed to give and accept meals, refreshments, entertainment or promotional items or nominal gifts which have a value of less than \$500.00, as long as these are reasonable and provided in the proper course of business and not viewed as a payment for services rendered or to be rendered through their position with SIGA.
 - iii) An improper gift or benefit must be refused or returned to the person offering it as soon as practicable. If there is no opportunity to return an improper gift or benefit, or where the return may be perceived as offensive for cultural or other reasons, the gift or benefit must be immediately disclosed and turned over to the Senior VP. Finance & Administration to make a suitable disposition of the item.
 - iv) It is unethical to retain a gift or prize that exceeds \$500.00 in value at an event where the Director's attendance has been funded by SIGA or SIGA has requested the Director to attend on its behalf. Such gifts or prizes become SIGA property and must be submitted to the Senior VP. Finance



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& Administration for disposition. Any exception to this guideline must be approved by the Board based on a recommendation from the Governance Committee.

- i) Marketing Department Promotions
 - i) From time to time. SIGA conducts promotional events utilizing entry forms for guests to fill out and file with the Casinos. The promotion culminates with a winners) being determined through a random draw. Directors and their immediate families (for the purpose of this section of the policy defined as residing in the same residence) are not eligible to enter these competitions or any other promotions.
- j) Contracts
 - i) A Director who is a party to a material contract or a proposed material contract with SIGA, or who is an associate or any person who is a party to a material contract or a proposed material contract with SIGA, is in a potential conflict of interest.
 - ii) A Director shall not, either directly or indirectly or through family members, provide or enter into a contract to provide SIGA with any materials or labor for consideration without first having fully disclosed in writing such interests to the Board, through the Governance Committee, and without having first obtained in writing the approval of the Board.
 - iii) When a Director leaves the SIGA Board, the former Director will not be eligible to enter into any contract with SIGA for a period of 12 months or without having first obtained in writing approval of the Board.
- k) Related Party Transactions
 - i) A Director is in a potential conflict of interest situation in the case of related party transactions when the transaction satisfies the definition of a 'Related Party Transaction' as set out in section 3.7 of this Policy, and:
 - ii) The Director has a significant business relationship with the related party, or
 - iii) The related party is the Member that nominated him/her to the SIGA Board.
- l) Notwithstanding section 6.3 (k) above and section 6.14(b) of the Policy a Director may present the related party's position and/or concerns to the Board, with regard to the related party transaction, but must leave the meeting during discussion and



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voting on the matter, and must refrain from influencing other Directors regarding any associated decision making, discussion or voting.

- m) Section 6.3 (l) above also applies in situations where:
 - i) The Board considers a related party transaction to be significant/material but it is not possible to quantify the benefit to the related party: and/or
 - ii) Two or more Directors request that the applicable Director leave the meeting during discussion and voting on the matter, even though the transaction is not considered to be material.
- n) When more than one related party is involved in a related party transaction (or stands to materially benefit from an associated policy):
 - i) Sections 6.3(l). and 6.2 (m) shall apply to Directors who meet the criteria in section 6.3 (k) above: and
 - ii) The Board motion to approve the transaction or to adopt the related policy (or policy amendment) will require the support of a majority of all of the Directors on the Board who are independent of the related parties and not in a conflict of interest situation.
- o) Preferential Treatment
 - i) A Director shall not grant preferential treatment to any person defined in Section 3.3 or 3.4 or to organizations in which the Director, has an interest.
- p) Information
 - i) Directors must not use information gained from or on behalf of SIGA to gain benefit for themselves or a related party or relationship defined in Sections 3.3 and 3.4 of this policy.
- q) SIGA Name
 - i) Directors must not use SIGA's name when purchasing good or services that are not for SIGA use when it could be inferred that the purpose in doing so is to solicit benefit not available to others.

6.4 Corporate Opportunities

- a) Directors must not take personal advantages of, or divert to their own benefit, commercial opportunities they learn about in the course of carrying out their duties as a Director.



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- b) Directors must not engage in any financial transactions, contracts, or private arrangements for personal profit, which accrue from or are based upon the Director's fiduciary position or authority, or upon confidential or non-public information to which the Director has access by reason of such position or authority.

6.5 Confidential Information

- a) Directors are bound by their fiduciary duty to SIGA to *maintain the confidentiality of information received by them in their capacity as Directors*. Information which is confidential, proprietary to SIGA or non-public must not be divulged to anyone other than persons who are authorized to receive the information.
- b) After Directors cease to serve on the Board, they must refrain from taking improper advantage of their previous position. For example, Directors must continue to observe the duty to protect confidential information after they leave the Board of SIGA, unless the Director has received written authorization from SIGA to disclose the information.

6.6 Duty of Care

Every Director must exercise the care, diligence and skill that a reasonably prudent person would exercise in comparable circumstances.

6.7 Regulatory Duties

Various federal and provincial statutes impose or extend liability to Directors (e.g. labour standards legislation). Directors must satisfy themselves that management has implemented appropriate safeguards to ensure SIGA complies with such legislation.

6.8 Prohibition of Gaming

Directors are prohibited from participating in gaming at all Saskatchewan Indian Gaming Authority Casinos.

6.9 Corporate Property

Directors must not use SIGA property or services to pursue their private interests or the interests of an associate. Corporate property includes real and tangible items such as land, buildings, furniture, fixtures, equipment and vehicles, and intangible items such as data, computer systems, reports, information, corporate opportunities, proprietary rights, patents, trademarks, copyrights, logos, name and reputation.



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6.10 Public Comment

- a) Except where the policy states otherwise, the Board Chair shall act as the spokesperson for the Board in circumstances where public comment could be perceived as an official act or representation of SIGA.
- b) Directors must not speak publicly to express views or opinions that could be controversial, or cause offence to SIGA or adversely affect its business. Directors shall only speak through the Board Chair unless delegated by the Board Chair to do so. .

6.11 Dealing with SIGA Employees

- a) The board's sole official connection to the operations of SIGA, its achievements and its conduct is through the President/CEO (Policy No. B04-001, Board-Management Delegation).
- b) Notwithstanding (a) above, Directors are expected to maintain effective communications with Senior Management, while avoiding close personal relationships with Senior Management that could, or could be reasonably perceived to, interfere with the Director's ability to objectively act in the best interests of SIGA.
- c) Where a close personal relationship exists between a Director and an employee of SIGA, and could or could be reasonably perceived to interfere with the Director's ability to objectively act in the best interests of SIGA, the declaration of relationship must be disclosed in writing to the Governance Committee.

6.12 Dealing with Customers, Stakeholders and the Public

- a) Every Director has an obligation to maintain the reputation of SIGA through positive interaction with customers, stakeholders and the general public.
- b) Every Director shall be an effective ambassador for SIGA by:
 - i) Active involvement and participation in community organizations and initiatives; and
 - ii) Attending SIGA events and promotions to facilitate positive public relations between SIGA and the community as requested.

6.13 Political Activities

Every Director is free to participate in political activities. However, any political activities must be clearly separated from activities related to the Director's official position.



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- a) In relation to the exercise of their duties and responsibilities, Directors must remain impartial and retain the perception of impartiality.
- b) Directors must not engage in political activities while conducting business on behalf of SIGA (e.g. while attending SIGA Board/Committee meetings; attending meetings with Shareholders and stakeholders on behalf of SIGA; etc.).
- c) Directors must not use SIGA facilities, equipment, or resources in support of their political activities.
- d) Directors engaged in political activities must:
 - i. Remove themselves from discussion and voting on matters at SIGA Board and Committee meetings when their objectivity would be, or would be perceived to be, impaired (e.g. sponsorship donation to an organization that supports the Director's political campaign).
 - ii. Not disclose confidential SIGA information.
 - iii. Refrain from expressing any views or opinions regarding SIGA when such views or opinions are not consistent with those of the SIGA Board.
 - iv. Ensure that any views they express in the context of their political participation are clearly and unequivocally stated to be their personal views and not the views of SIGA.
- e) If a Director is elected to public office and their position in public office would conflict, or be perceived to conflict, with their duties and responsibilities to SIGA, they must immediately resign from the SIGA Board.

6.14 Compliance Measures

The Governance Committee will consider a range of actions that can be taken when responding to a conflict of interest or ethical issue. Although not exhaustive, the following is a list of actions that may be taken to remedy or avoid a conflict or ethical issue. Where the remedies listed below are not sufficient to respond to a particular conflict or ethical issue, the Committee shall consult with the Board for further guidance and a recommendation respecting appropriate actions.

- a) Disclosure of conflicts of interest through signed Director's Declaration Forms.
- b) Disclosure of conflicts of interest at Board or Committee meetings and in Board/Committee minutes. The Director must abstain from voting on the matter and leave the meeting during discussion and voting on the matter.



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- c) Resignation from the Other Office, or from the SIGA Board, where a conflict of interest exists related to a Director's appointment, office or position with another organization, and disclosure of such conflict and abstaining from voting on the related matter before the Board does not resolve the conflict.
- d) Refrain from outside activities where such activities result in the conflict of interest, or a perception of conflict.

6.15 Reporting Allegations of Wrongdoing and Conflicts of Interest

- a) Directors have a duty to report to the Governance Committee, Board Chair, President & CEO, or Internal Auditor of the corporation any activity which they believe:
 - i) Contravenes the law;
 - ii) Represents a breach of this policy;
 - iii) Represents a misuse of SIGA funds or assets; or
 - iv) Represents a danger to public health, safety or the environment.
- b) Directors shall not be subject to reprisals for bringing forward, in good faith, allegations of wrongdoing.

6.16 Consequences Of A Breach

In the event of a breach of legislation or the *Code of Conduct & Ethics*, or a failure to remedy or disclose a conflict of interest, the consequences shall reflect the nature, magnitude and seriousness of the breach. The following are examples of possible consequences for a Director found to be in the breach of this policy:

- a) The Director may be offered the opportunity to resign from the Board;
- b) The Director may be required to make full restitution to SIGA;
- c) SIGA may consider taking legal action against the Director;
- d) If in breach of the law, the Director's action will be reported to the proper authority; or
- e) Any other course of action that might be available to government or SIGA for a breach of this policy.

7. **Monitoring**

- 7.1 The Board Chair and Chair of the Governance Committee shall monitor compliance with this policy annually.



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- 7.2 Neither the Board Chair nor the Chair of the Governance Committee has the authority to override any decision of the Board. Decisions of the Board shall be final and govern with respect to the matter in question, and such decisions shall be made by a majority of the votes cast on the matter in question, in accordance with the Bylaws.

8. Enquiries

- 8.1 All enquiries concerning this policy should be directed to the Chair of the Governance Committee.




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Appendix B – Declaration Form

	Saskatchewan Indian Gaming Authority (SIGA) 103 Aspen Place Saskatoon, SK S7N 1K4	Phone: (306) 477-7777 Fax: (306) 477-7504
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DIRECTOR'S DECLARATION FORM

SIGA Policy No. B03-004, Code of Conduct & Ethics – Directors, requires each Director to sign a Director's Declaration Form, at the time of appointment to the Board, annually thereafter, and whenever an actual, potential, or perceived conflict of interest arises that has not been previously declared.

Conflict of Interest is a situation in which a Director, either for himself/herself or some other person(s), organization, or corporation, attempts to promote a private or personal interest or an interest of another organization or corporation, which results or appears to result in:

- an interference with the objective exercise of SIGA duties or responsibilities;
- a gain or an advantage by virtue of his/her position in or with the Authority.

Director Name (please print)

Nominated by

I was nominated for appointment to the SIGA Board of Directors by _____ (insert Member organization).

Declaration at Time of Appointment

I, _____, a Director of the Saskatchewan Indian Gaming Authority Inc. ("SIGA") declare that I have read and understand the terms and requirements of the Code of Conduct & Ethics Policy. I also declare that I will adhere to the Code of Conduct & Ethics Policy throughout my tenure as Director of SIGA.



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Annual Declaration

I, _____, a Director of the Saskatchewan Indian Gaming Authority Inc. ("SIGA") declare that I have read and understand the terms and requirements of the Code of Conduct & Ethics Policy. I also declare that I have adhered to the Code of Conduct & Ethics Policy and its predecessor policies throughout my tenure as Director of SIGA. I will continue to follow the guidelines and requirements as stated in the Policy.

Business Ventures and/or Directorships (check 'v' the applicable box)

It is recognized that SIGA Directors may be involved in business ventures and/or serve as Directors on boards of other corporations that may constitute a Conflict of Interest or Potential Conflict of Interest. This Declaration identifies that either a business venture or directorship in which the Director is involved is not in a Conflict of interest situation with SIGA, or that there may be a Conflict of Interest situation, which will require further review by the SIGA Board.

☐

In my opinion, and to the best of my knowledge, I am not currently involved in any manner, with a business venture(s) or directorship with another corporation that may constitute an actual, potential, or perceived Conflict of Interest.

☐

My involvement with the following business venture(s) and/or directorships with another corporation(s) may constitute an actual, potential, or perceived Conflict of Interest situation with SIGA. Details: _____

Relationship with SIGA Employees and/or Other SIGA Directors (check 'v' the applicable box)

☐

I do not have any business relationship or close personal relationship with any SIGA employees or other SIGA Directors

☐

I have a business relationship or close personal relationship with the following SIGA employee(s) and SIGA Director(s):

Details: _____



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Contracts (check 'v' the applicable box)

☐

Neither I, nor a family member, have any contracts with SIGA.

☐

I and/or a family member, have the following contracts with SIGA:

Details:

Employment Status (check 'v' the applicable box)

☐

I have no employment status with the Member I represent and/or an organization owned and/or controlled by the Member.

☐

I have no employment status with other key stakeholders of SIGA.

☐

I have the following employment status with the Member I represent and/or an organization owned and/or controlled by the Member and/or other SIGA stakeholders:

Details:

Family Relations (check 'v' the applicable box)

In the interests of impartiality, each Director must disclose any immediate family relations so as to help SIGA ascertain those in a position to control, direct or influence the working relationship.

Immediate family – means spouse (includes common law as defined by legislation), domestic partner, brother, step-brother, sister, step-sister, parent, step-parent, child, step-child, grandparent, step-grandparent, grandchild, step-grandchild, great grandparents, uncles, aunts, nieces, nephews, first cousins, spouse's grandparents, brothers-in-law, sisters-in-law, son-in-law, daughter-in-law, mother-in-



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law, and father-in-law. Also includes family relationships resulting from First nations' customary adoptions, and persons living in your household for long periods of time and whom you support.

☐

I do not have any family working for Saskatchewan Indian Gaming Authority or on the Board of Directors of Saskatchewan Indian Gaming Authority.

☐

I do have the following family working for Saskatchewan Indian Gaming Authority and/or on the Board of Directors of Saskatchewan Indian Gaming Authority:

Name	Relationship	Position	Dept./Site Location

Other Relationships (check 'v' the applicable box)

It is recognized that SIGA Directors may have other close personal relationships outside of SIGA that may constitute an actual, potential, or perceived Conflict of Interest. This Declaration identifies that a close relationship that constitutes an actual, potential, or perceived conflict of interest, either does not exist, or exists and will require further review by the SIGA Board.

☐

In my opinion, and to the best of my knowledge, I do not have any close personal relationship with an individual(s) outside of SIGA that may constitute an actual, potential, or perceived Conflict of Interest situation with SIGA.

☐

My close personal relationships with the following individual(s) outside of SIGA may constitute an actual, potential, or perceived Conflict of Interest situation with SIGA.

Name	Relationship



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Date

Director's Signature

(Should you require any assistance, please contact the VP of Corporate Affairs)

Comments of Governance Committee

Date

Chair, Governance Committee