

Policy 10.13

POLICY TITLE: COMMUNICATION AND COUNSEL TO THE BOARD OF DIRECTORS		POLICY #: 10.13	
Topic Area: Executive Responsibility		REVIEW DATES	
Applies to: Chief Executive Officer, Chief Compliance Officer, Chief Financial Officer		Issued By and Approved By:	11/18/21
Developed and Maintained by: CEO and Designees		Board of Directors	
Supersedes: N/A		Effective Date: 9/17/16	Revised Date: 11/18/21

I. POLICY

Chief Executive Officer

The Lakeshore Regional Entity (the "Entity") Chief Executive Officer (CEO) shall ensure that the Entity Board of Directors is informed and supported in its work.

The Entity CEO must:

1. Submit monitoring data required by the Entity Board of Directors in a timely, accurate, and understandable fashion, directly addressing provisions of Entity Board of Directors policies being monitored and including the Entity CEO interpretations as well as relevant data.
2. Ensure that the Entity Board of Directors is aware of any noncompliance actual or anticipated of Entity Board of Directors policies regardless of monitoring policy schedule.
3. Ensure that the Entity Board of Directors has adequate information to be aware of relevant trends, regardless of monitoring policy schedule.
4. Inform the Entity Board of Directors of any significant information on impending media coverage, threatened or pending lawsuits, and material internal and external changes.
5. Ensure that the Entity Board of Directors is aware that, in the Entity CEO's opinion, the Entity Board of Directors is not in compliance with its own policies, particularly in the case of the Entity Board of Directors behavior that is detrimental to the work relationship between the Entity Board of Directors and the Entity CEO.
6. Refrain from presenting information in unnecessarily complex or lengthy form or in a form that fails to differentiate among information of three types: monitoring, decision preparation, and other.
7. Ensure that the Entity Board of Directors will have a workable mechanism for official Entity Board of Directors, officers, or committee's communications.
8. Not deal with individual Entity Board of Directors in a way that favors or privileges certain the Entity Board of Directors members over others, except when fulfilling

individual requests for information or responding to officers or committees duly charged by the Entity Board of Directors.

9. Submit to the Entity Board of Directors a consent agenda containing items delegated to the Entity CEO required by law, regulation, or contract to be approved by the Entity Board of Directors, along with applicable monitoring information.

Chief Financial Officer and Chief Compliance Officer

The Financial Officer and Chief Compliance Officer shall have direct access to the Entity Board of Directors.

II. PURPOSE

To make appropriate decisions the Entity Board of Directors must be informed of relevant information by the Entity Executive staff

III. APPLICABILITY AND RESPONSIBILITY

This policy applies to the Entity Board of Directors, Entity CEO, Entity Chief Compliance Officer, and the Entity Chief Financial Officer.

IV. MONITORING AND REVIEW

The CEO and designees will review this policy on an annual basis.

V. DEFINITIONS

N/A

VI. RELATED POLICIES AND PROCEDURES

- A. Compliance Policies and Procedures
- B. Board Policies and Procedures
- C. Board By-Laws

VII. REFERENCE/LEGAL AUTHORITY

N/A

CHANGE LOG Date of Change	Description of Change	Responsible Party
11/18/21	Moved procedure to policy section. Added language from 10.17	CEO and Designees