



Code of Conduct

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Table of Contents

A Message From our Leaders	3
Horizon Infusions Contact Information	4
The Horizon Commitment	5
The Compliance Integrity Program	6
The Commitment to Compliance with Health Care and Other Regulations	7
The Commitment to Preventing Fraud, Waste, and Abuse	7
The Commitment to Complying with the Anti-Kickback Statute	7
The Commitment to Quality Care	8
The Commitment to Respecting Protected Information	8
The Commitment to Respect for Property, Equipment, and Supplies	9
Gifts and Gratuities	9
The Commitments To and From Our Business Partners	9
Licensure Requirements	9
Exclusion Programs	10
Duty to Report	10
Obligation to Cooperate	10
Consequences of Non-Compliance	10
Appendix A– False Claims Laws: Federal and State Specific	11
Certificate of Compliance	14

A Message From our Leaders

Our Code of Conduct (the “Code”) reflects our desire to conduct our business in an ethical, responsible, and transparent manner. Our mission is to enable access to life-changing infusion therapy while providing a superior experience for patients and referring providers. We have developed the Code to guide us in the journey to expand our services to as many patients in need of our care as possible while simultaneously maintaining a steadfast commitment to ethical business practices, regulatory compliance, and professional standards.

We set high standards of conduct and behavior for our employees, officers, directors, and those working on our behalf. This Code is the foundation of the values and behaviors that all of us are expected to follow. In addition, we have invested in a comprehensive compliance program to serve as a resource to our team members and business partners. The Compliance Program promotes an ethical and compliant culture within Horizon. We value, commend, and support honesty and integrity and will take corrective action up to and including termination of those who violate or turn a blind eye to violations of the law or our Code of Conduct.

By committing to our Code of Conduct, you are joining all of us across the organization to ensure we do the right thing. Thank you for your commitment to all those we serve and all that we stand for. If you have questions, please always feel free to contact the compliance department. We are here to serve as a resource for you.

Sincerely,
Daniel Laroue
Chief Operating Officer

Horizon Infusions Contact Information

We are all working together with the goal of providing excellent care to our patients and supporting our community. Sharing a common mission and vision helps us live up to our goals. Our organization's values are supported when we understand how to do the right thing. This Code of Conduct is a resource to guide us in our daily practices and support ethical and high-quality care.

If you are ever unsure about what to do, here are a few good places to start.

Horizon Infusions Hotline

(800) 537-0004

(use this number when you want to report a concern anonymously)

Horizon Compliance Officer

(877) 787-8720

(use this number to ask questions or make a report when you do not mind your identity being known)

Compliance Email

compliance@horizoninfusions.com

(use this email to ask questions, report concerns, or provide information to the compliance department)

Online Reporting

<https://www.mycompliancereport.com/report?cid=HORIZ>

The Horizon Commitment

At Horizon, we are committed to providing quality services fairly, ethically, and in compliance with all the laws, regulations, and requirements that apply to us. Horizon recognizes that our employees are our most valuable asset and is committed to creating a workplace where employees are treated with respect and fairness while being empowered to succeed.

As part of our commitment, we have developed and adopted this *Code of Conduct*. This Code outlines the ethics we strive to maintain in relationships with our patients, employees, customers, partners, and communities. It applies to all of us, including our Board of Directors, employees, contractors, vendors, referral sources, and others involved in our day-to-day operations. Compliance is everyone's responsibility, and it is never acceptable to ask or be asked to act in any way that violates our *Code*.

When you work with Horizon, you agree to:

- Adhere to the Code of Conduct and the organization's policies and procedures
- Follow the laws, regulations, and payer requirements that apply to us
- Understand your obligation to report concerns even when they do not directly involve you
- Understand the disciplinary guidelines for non-compliance

As an employer and partner in care, Horizon agrees to:

- Provide resources and guidance
- Provide training and education on the laws and regulations that guide us
- Protect your confidentiality to the extent possible
- Follow strict non-retaliation policies (we will not tolerate retaliation if you make a report in good faith)

Horizon expects leaders to support and model a culture of integrity and compliance by understanding their responsibilities, supporting team members who raise concerns, expecting compliant behavior from team members, applying disciplinary policies and guidelines fairly and consistently, reporting inappropriate behavior, contacting the Compliance Department with questions/concerns, and following and supporting the organization's commitment to non-retaliation.

The Compliance Integrity Program

To guide us in our daily work and to help us meet these goals, Horizon Infusions developed a Compliance Integrity Program and this *Code of Conduct*.

Our Compliance Integrity Program outlines what we do as an organization to comply with legal and ethical requirements and is designed to prevent and detect inappropriate conduct. Our Compliance Integrity Program is based on these seven elements:

1. Policies and Procedures and our *Code of Conduct*

Horizon has worked hard to develop policies and procedures that guide our day-to-day activities. All employees should refer to these policies frequently. The *Code of Conduct* includes the standards to which we are all held.

2. A designated compliance officer and compliance committee

Horizon Infusions has designated a compliance officer to answer questions, address concerns, provide resources, training, and education; monitor compliance, and audit various departments and documents for compliance. The compliance officer is here to help us all be successful in our roles.

3. Effective training and education

Training and education are important to help us understand the complex health care requirements. If we are asked to do things or document actions in a certain way, usually it is because there is a regulatory, safety, or quality component.

4. Effective lines of communication

To encourage communication, Horizon has created a few different ways to ask questions or report concerns. That information is located under Contact Information.

5. Internal auditing and monitoring

Auditing is a formal process of reviewing documentation. Monitoring is what we do daily as part of our normal activities for ensuring we are following the various rules, laws, and regulations that apply to health care. Horizon provides information and resources to help us be successful and avoid missteps.

6. Enforcing standards with well-publicized disciplinary guidelines

Our disciplinary guidelines are included in this *Code* and in our policies and procedures. Horizon works diligently to ensure fair and consistent discipline and to enforce non-retaliation policies.

7. Responding promptly to concerns and taking corrective action

If a concern is reported, Horizon investigates it quickly and helps prevent non-compliance.

Compliance Responsibilities

Compliance responsibilities include asking questions and reporting concerns. More information on this is included in this *Code*.

The Commitment to Compliance with Health Care and Other Regulations

Horizon is reimbursed for many of the services we provide under state and Federal health care programs. Because of this, we are required to comply with a variety of regulations and rules. We are all committed to complying with all health, safety, environmental, and employment laws.

The Commitment to Preventing Fraud, Waste, and Abuse

We are committed to preventing fraud and financial waste and abuse. To help with this, we have policies and procedures, this *Code*, and a Compliance Integrity Program. By participating in Medicare and Medicaid programs, we are subject to the Federal False Claims Act which prohibits, among other things: billing for services that are not reasonable and necessary; falsifying reports or documentation; billing for unqualified services; billing at a higher level than necessary; participating in kickbacks; or retaining overpayments. Violations of the False Claims Act have serious consequences including fines, criminal prosecution exclusion from participation in Federal programs and loss of licensure.

The following are examples of actions that must be reported to the Compliance Department:

- False documentation
- Giving or receiving something of value to induce a referral
- Billing for services not provided
- Billing for medically unnecessary services
- Billing for services provided to a patient that does not meet the eligibility requirements

The Commitment to Complying with the Anti-Kickback Statute

The Anti-Kickback Statute states that it is a crime to knowingly offer, pay, request, or receive anything of value to reward a referral, either directly or indirectly. This statute also applies to

purchasing, leasing, or ordering goods or services. For example, we cannot accept or provide anything of value that would influence us or our partners to do business together. There are some exceptions to this statute called “safe harbors” (such as some marketing activities), but these exceptions are limited and should be reviewed by the Compliance Department. Cash, gift cards, or other cash equivalents are strictly prohibited.

The Commitment to Quality Care

We are all committed to providing quality care that supports the patient’s right to dignity, consideration and respect, the right to participate in decisions and consent or refuse treatment, and the right to be free from abuse or neglect.

If a patient’s decision regarding care conflicts with Horizon’s policies, this should be reported to your supervisor so that each case can be individually reviewed and documented.

The Commitment to Respecting Protected Information

We are all committed to protecting privacy and confidentiality. This extends to our patients *and* employees. We do not share information unless it complies with Federal and state laws including the Health Insurance Portability and Accountability Act (HIPAA). Horizon has detailed policies regarding these privacy requirements, and we are accountable to know and comply with these policies.

Protected health information includes names, diagnoses, social security or Medicare numbers, treatment information, and other identifiable information.

In short, it is never acceptable to:

- Remove or use medical records for anything other than providing care
- Leave protected information unattended
- Post protected information on social media
- Text protected information
- Violate the E-mail policy of the organization

Other Confidential Information

As a team member, we each have access to information to be used only in our roles with Horizon. All information related to finances, operations, products, policies, customers, plans, software, and other proprietary information should not be released to anyone outside of Horizon except as may be required by law.

The Commitment to Respect for Property, Equipment, and Supplies

The resources provided by Horizon should be used for business purposes only. These resources should be protected against loss, damage, theft, and misuse.

We are committed to compliance with this statute. It is never acceptable to give or receive something of value if the intent is to induce a referral. If you are aware of any behavior that violates this statute, you have a duty to report this to the Compliance Department.

Gifts and Gratuities

Because of the personalized services we provide, patients and families sometimes wish to show their appreciation with a gift. Gifts to individuals are never permitted, however; it is acceptable for the clinic to accept a nominal gift such as flowers. Accepting individual gifts could give the impression that you are favoring that patient, giving special treatment, or even taking advantage of the patient or family. Accepting individual gifts or tips is prohibited. It is also prohibited to request or accept a loan from a patient or family. In some states this is even against the law.

The Commitments to and From Our Business Partners

Independent contractors and vendors are required to be familiar with and comply with Horizon's policies and procedures and this *Code*. When we partner with a person or organization, we require a written contract. Horizon will obtain a Business Associate Agreement for anyone who will have access to protected information. Our contracts are not influenced by the volume or value of referrals but pay fair market value.

Licensure Requirements

Based on your position and role with Horizon, you may be required to maintain a license or certification. All of us are expected to maintain our license and/or certification in active good standing. We are each responsible for renewing and verifying our license/certification. Any disruption to this should be immediately reported to the Compliance Department.

Exclusion Programs

Horizon does not employ or enter into an agreement with any individual or organization that is excluded by the Office of the Inspector General or debarred by the General Services Administration. To ensure compliance, Horizon regularly reviews exclusion lists by Federal and state programs.

Any employee that is notified they have been placed on an exclusion list must immediately notify the Compliance Department.

What should I do if I think something violates the Code of Conduct?

Report

All questions and concerns should be reported to the Compliance Department, either directly or through your supervisor. Reporting concerns is an important part of our Compliance Integrity Program. You have the right and the responsibility to report:

- anything you suspect may be harmful to a patient, family member, or team member;
- anything you suspect is illegal or unethical;
- anything that violates laws, rules, regulations, or payer requirements; or
- any violation of this *Code*.

In return for reporting concerns, you have Horizon Infusions' commitment that the issues you raise will be promptly and carefully reviewed and that appropriate corrective action will be taken where necessary. Horizon will protect your confidentiality to the extent possible when you make a report but there may be times when your identity becomes known. Most importantly, we are committed to following

Duty to

a **strict non-retaliation policy** for anyone making a good faith report.

In short, we value, commend and support honesty and integrity, and will take corrective action up to and including termination of those who violate or ignore violations of the law or our Code of Conduct.

Obligation to Cooperate

We are all expected to cooperate with any internal investigation. Horizon prohibits destroying or altering any documents (written or electronic) that may be associated with any investigation.

If you become aware of any government agency or third party asking for information, you must notify the Compliance Department immediately.

Consequences of Non-Compliance

Failure to comply with this *Code* or Horizons' policies and procedures can lead to serious consequences. These consequences include disciplinary action, licensure actions, lawsuits, government investigations, exclusion from participating in any state or federal health care program, and reputational damage.

Because non-compliance is serious, disciplinary action will occur if any of the following occur:

- Participating in or allowing any violation of this *Code*, regulations and laws, or policies and procedures.
- Failure to report a violation
- Concealing violations
- Refusing to cooperate with an internal investigation
- Threatening or retaliating against someone who reports a violation

Appendix A– False Claims Laws: Federal and State Specific

The Federal False Claims Act and State Laws Pertaining to Penalties for False Claims Statements

The Federal False Claims Act (“FCA”) 31 U.S.C §3729 et seq. was enacted to prevent, detect, and remedy waste, fraud, and abuse in federal contracting programs, including its health care programs. Any knowingly false statement made to a department or agency of the federal government may be a crime. The submission of false claims to Medicare or Medicaid may be a crime. Violations of this statute include submission of claims for services that are not medically necessary, claims for services that may be medically necessary but are not covered by Medicare (e.g. experimental procedures), using a code for a higher level of reimbursement than the code for the services actually provided, billing for one global procedure as a number of smaller ones to obtain a higher total level of reimbursement and knowingly providing false information on cost reports or any other documents or reports filed with Medicare or Medicaid. In addition, knowingly creating false documentation in medical, financial or employee records, or in other business records maintained by the Company, is strictly prohibited by the Company.

Other Federal Anti-Fraud Statutes are not limited to Medicare and Medicaid. The federal mail and wire fraud statutes make it a crime to use the mail or interstate wire communication (telephone) in furtherance of a scheme to defraud, or to obtain money or property through false or fraudulent pretenses or representations. Nearly every form of health care fraud (e.g., billing for services not provided, for services not provided as claimed or for unnecessary services) can be attacked under these statutes, if mail or interstate wire communications are used. Fraudulent and deceptive practices can take many forms, and employees must be careful not to make misrepresentations to suppliers, private insurers, or government agencies.

Other State Laws: In addition to the Federal FCA, some states have enacted false claims statutes. These state law versions are often modeled on the FCA. They may include, among other things, qui tam or whistleblower provisions. Violations of the state laws and related federal and state laws can subject individuals and the Company to penalties and fines, and convicted individuals may be punished by imprisonment. As stated earlier, employees are strictly forbidden from engaging in such misconduct. The Company will not employ or contract for services with anyone convicted of a criminal offense related to a government program or who is debarred or excluded from participation in a government program.

Federal Administrative Remedies for False Claims and Statements

The FCA provides for civil penalties in the amount of \$5,500 to \$11,000 per false claim, as well as Damages totaling three times the amount of damage sustained by the government because of the false claims. Violation of the FCA can also be grounds for exclusion from participation in federal and state health care programs, such as Medicare and Medicaid.

Whistleblower Provisions Under the Federal and State Laws

The qui tam, or “whistleblower,” provisions of the FCA allow private persons called “relators” to bring civil false claims actions on behalf of the government. The same rules and standards regarding liability and calculation of damages and penalties apply in a qui tam action as under a normal FCA action. Upon a successful recovery by the government, a relator is entitled to share in the damages. Many states false claims acts have similar provisions.

Whistleblower Retaliation Provision of the Federal False Claims Act

The FCA contains important protections for whistleblowers. Employees who report fraud and consequently suffer discrimination are entitled to all relief necessary to be made whole, including back pay, reinstatement, and compensation for costs and damages. Horizon Infusions has rigorous safeguards to protect against any form of employee retaliation, including whistleblower retaliation.

Medicare and Medicaid Anti-Kickback Act

The Medicare and Medicaid Anti-Kickback Act and many comparable state laws prohibit anyone from providing or offering to provide any remuneration in cash or in kind, directly or indirectly, in return for the referral of a patient whose treatment (item or service) is paid for in whole or in part by Medicare, Medicaid or any other federal or state health care program. Illegal kickbacks can take a wide variety of forms. They can be blatant direct payments for referrals, or they can be more subtle and indirect (e.g., improper rebates, income guarantees, care or other expense allowances, cost-free loans, paid-for vacations). The language of the anti-kickback statute is broad, and many seemingly innocuous business practices may be deemed to be illegal kickbacks by the government. Certain business practices may be exempt under specific circumstances. Consequently, the advice of the Company’s Legal Department must be sought before engaging in any new business practice or arrangement with a source of referrals to the Company or an entity that provides healthcare items or services to the Company (e.g., drug companies, pharmacies, laboratories).

Certificate of Compliance

Horizons Infusion is committed to ethical business practices. We rely on everyone to adhere to the same Code of Conduct (Code) to help us keep this commitment. The Code is a condition of initial and continued employment.

These responsibilities contribute to our ability to prevent and detect instances of misconduct. By signing below, you agree to abide by the Code and attest to the following statements:

I have received, read, and understand the Code of Conduct.

I understand how the Code applies to me and acknowledge my role in compliance.

I understand my obligation to report violations of the Code of Conduct or requests that would result in a violation of the Code to my supervisor or the Bridge Line.

I am not under investigation, suspended, or excluded from participation in Medicare, Medicaid or other state and federal health care programs.

I will inform the company in writing if I am under investigation for alleged fraud and abuse, or if I have been suspended or excluded from participation in Medicare, Medicaid or other state and federal health care programs.

I currently hold a valid license (if required) to perform the functions described in my job description and will notify the Company immediately in writing of any threat of loss or actual loss of any license required to perform the duties of my current job description.

Employee Name (please print)

Employee Signature

Date

For contract employees only: (those who are employed through a contract with another company)

Company Name: _____

A copy of this should be retained by the employee and by Human Resources.