AMERICAN SOCIETY OF CLINICAL ONCOLOGY
POLICY CONCERNING PROCEDURES FOR DISCIPLINE OF
EXHIBITORS AND OTHER ORGANIZATIONS AT ASCO MEETINGS

I. Notice of Rules

All Exhibitors and other organizations participating in ASCO Meetings shall be sent a copy of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings.

II. Complaints

Any ASCO Member or Exhibitor who has evidence that the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings are being or have been violated may report such fact to ASCO in the following manner:

A. If made during the meeting - The complaint shall be made to the ASCO Executive Vice-President (EVP), Vice-President (VP), Director of Education, Science and Career Development, or Director of Member and Meetings Services in writing or verbally. If made verbally and not resolved to the satisfaction of the complainant during the meeting, the complainant may follow-up with a written complaint made after the meeting.

B. If made after the meeting - The complaint shall be made in writing to the ASCO EVP.

C. Form of Complaint - Regardless of when made, the complaint shall set forth the specifics of the conduct complained of and the portion of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings which have been violated by such conduct, and shall identify any other individuals who can corroborate such information.

III. ASCO Response To Complaint Or Notice Of Violation

A. Complaint made or notice received during the meeting - If the ASCO VP, the Director of Education, Science and Career Development, and/or the Director of Member and Meetings Services receives a complaint, or otherwise becomes aware of a rules violation during the meeting, he or she will attempt to address the violation and obtain compliance from the charged party during the meeting if feasible. In so doing, such ASCO official shall seek the help of the ASCO EVP if they deem it feasible and necessary to do so. If the violation is corrected during the meeting, the ASCO VP, the Director of Education, Science and Career Development, or the Director of Member and Meetings Services shall make a written report to the ASCO EVP, copying the complainant, if any, and the charged party; and a record shall be kept at the ASCO Headquarters of such report under the name of the charged party. If the violation is not corrected at the meeting, or if it is corrected at the meeting, but involves a company for which ASCO has a record of having had a previous violation of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings, the ASCO VP, the Director of Education, Science and Career Development, or the Director of Member and Meetings Services shall file a written report concerning the complaint to the ASCO EVP for handling under Section 3(B) below. In addition, if the ASCO EVP or the ASCO VP deems any uncorrected violation of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings to constitute a threat to the integrity of the ASCO meeting, either of them may immediately invoke the expulsion penalty of Section V(2) below.

B. Complaint made or notice received after the meeting -

(i) ASCO EVP Action - If the ASCO EVP receives a complaint, or otherwise becomes aware of a rules violation after the meeting, he or his designee shall investigate the
violation. As part of such investigation a copy of the complaint and of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings shall be sent to the charged party.

   a. No Violation Found - If after review the ASCO EVP concludes that there was no violation of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings, he shall notify the charged party and the complainant, if any, of such fact, and the matter shall be closed.

   b. Violation Found - Warning Issued - If after review, the ASCO EVP concludes that a violation occurred, but there is no record of the charged party having violated the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings previously and that the nature of the actions at issue do not merit more severe sanctions, the ASCO EVP may issue a letter to the charged party, with a copy to the complainant, if any, advising the charged party of the finding of the violation and warning the charged party that any violation by the company in the future of may lead to more severe discipline, including those penalties set forth in Section V of these Procedures.

   c. Violation Found - Refer to Executive Committee - If the ASCO EVP deems that the actions in question constitute a policy violation and merit more than a warning, he may refer the matter to the ASCO Executive Committee with a recommended penalty in accordance with Section V below.

   (ii) Executive Committee Action - Upon receipt of a recommendation from the ASCO EVP under Section 3(B)(i)(c) above, the Executive Committee shall consider the recommendation and determine an appropriate penalty, if any, in accordance with Section V below. Having done so, the Executive Committee shall notify the charged party and the complainant, if any, of the penalty and advise the charged party of its right within ten (10) days of receipt of such notice to appeal the penalty at a hearing before an Ad Hoc Committee appointed by the Board of Directors and to be held within sixty (60) days of receipt by ASCO of the notice of appeal.

IV. Appeal Before Ad Hoc Committee Of The ASCO Board Of Directors

   A. Where a charged party exercises its right to an appeal before an Ad Hoc Committee of the Board of Directors under Section III(B)(ii) above, the Board of Directors shall appoint an Ad Hoc Committee consisting of three directors who did not serve on the Executive Committee which imposed the penalty. The ASCO EVP shall then send each Ad Hoc Committee member and the charged party a copy of those documents from the Executive Committee file which the ASCO EVP deems pertinent to the complaint. A hearing date shall be set within the period required by Section III(B)(ii) above with all reasonable efforts being made to accommodate the convenience of the charged party. The charged party shall have the right if it so chooses to present a written statement to the Ad Hoc Committee at least seven (7) days before the hearing and shall have the right, upon at least seven (7) days notice to the Ad Hoc Committee, to have legal counsel attend the hearing. The Chairman of the Ad Hoc Committee may have ASCO Corporate Counsel attend the hearing if, after consultation with the ASCO EVP, the Chairman deems it appropriate. Formal rules of evidence will not apply to the hearing and the Chairman may allow consideration of any evidence which he deems relevant, material and not unduly repetitious or cumulative. Within two (2) weeks of the hearing the Ad Hoc Committee shall issue a final written decision to the charged party, a copy of which shall be kept in the ASCO records under the name of the charged party.
V. **Penalties**

Penalties for violation of the ASCO and The ASCO Foundation Policies for Exhibitors and Other Organizations at ASCO Meetings may include any one or more of the following, or such other penalties as ASCO may determine is appropriate under its policies:

A. A letter of warning.

B. Expulsion of the Exhibitor from the current meeting, and termination of any related privileges of Exhibitor personnel at the meeting, without refund of any related fees.

C. Loss of priority for Exhibit location at ASCO meetings for the next one, two or three years.

D. Loss of priority for hotel accommodations at ASCO meetings for the next one, two, or three years.

E. Denial of the right to exhibit at future ASCO meetings for the next one, two or three years.

F. Loss of right to register for the current or future ASCO meetings for the next one, two or three years.

A record of all disciplinary action shall be maintained in the records of ASCO under the name of the company. In assessing the appropriate level of penalty, there will be considered the intentional nature of the violation, the seriousness of the violation, any harm to third parties, any past violations by the Company, and any remedial action taken by the Company.