

**CAJUN INDUSTRIES, LLC AND  
SUBSIDIARIES  
CODE OF BUSINESS ETHICS AND  
CONDUCT**

**March 2009**

Dear Colleagues,

Cajun Industries, LLC has adopted the following Code of Business Ethics and Conduct (“Code”). The Code summarizes the principles that guide our actions as an organization. Our Code applies to all Cajun companies and to all of our officers, employees, agents, consultants, contract labor, or others, when they are representing or acting for Cajun. We expect our subcontractors and suppliers to be guided by these standards as well.

Each Cajun employee will receive a copy of the Code and must certify on an annual basis that they are familiar with and will comply with the Code. In addition, all employees will be required to attend periodic “refresher” training regarding Business Ethics and Conduct.

The personal integrity of each employee and his or her commitment to the highest standards of personal and professional conduct are the foundations of Cajun’s ethical culture. At Cajun, we believe that ethical conduct requires more than simply complying with the laws, rules, and regulations that govern our business. We value teamwork, set team goals, assume collective accountability for actions, and reward leaders who meet their performance objectives while also exhibiting the behavior we value.

If you are faced with an ethical dilemma, your supervisor is usually the best source of information and guidance. In addition, the Ethics Officer is available to assist you whenever necessary. Although your own common sense and good judgment should be your first guide to appropriate conduct, do not hesitate to contact your supervisor or the Ethics Officer whenever clarification is necessary.

We are proud of our employees and the important role our companies play in our communities and our industry. Thank you for doing your part to create and maintain an ethical work environment.

L. LANE GRIGSBY  
Chairman

J. KENNETH JACOB  
President and Chief Executive Officer  
March 2009

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## **I. INTRODUCTION AND POLICY STATEMENT**

This Code of Business Ethics and Conduct is a statement of our principles and expectations that guide ethical business conduct at all Cajun companies. Cajun requires all employees to use their best judgment, to be accountable for their actions, and to conduct business with integrity. We will conduct our business strictly in accordance with all applicable laws and regulations. In particular, the laws and regulations related to doing business with the federal government are far-reaching and complex, thus placing responsibilities on Cajun beyond those faced by companies without government customers. Compliance with the law, however, does not satisfy our entire ethical responsibility. Rather, it is an essential condition, a minimum standard for the performance of our jobs.

The Code applies to all Cajun employees and governs conduct among employees, customers, competitors, and our business providers (including suppliers, vendors, contractors and agents). In addition, the Code contains guidelines for Cajun employees to use in conducting its business activities in the United States Government marketplace. Thus, it also addresses business dealings by Cajun with the U.S. Government and other contractors, such as prime contractors, relating to a Federal prime contract or subcontract.

This Code is available online at [www.cajunusa.com](http://www.cajunusa.com) and on the Cajun intranet. We expect you to be familiar with the Code and urge you to review it on a regular basis so that you may incorporate its standards into your daily practices. In order to ensure compliance with the Code, all new employees are expected to attend mandatory training regarding the Code. In addition, all current employees must certify on an annual basis that they are familiar with and will comply with the Code, and must attend periodic “refresher” training.

As Cajun employees, you are expected to report any suspected violations of the Code or other irregularities to your supervisor, the Ethics Officer, or the Cajun Ethics Help Line at 877-754-1386. All reports of improper conduct will be treated confidentially and investigated and reported as appropriate to government authorities if Cajun determines that there is credible evidence of prohibited conduct. As a matter of law and consistent with Cajun policy, no adverse action or retribution of any kind will be taken against an employee because he or she reports a suspected violation of the Code or any other irregularity. Such reports shall be treated confidentially to the extent permitted by law and by the company’s need to properly investigate the situation.

Compliance with the Code is mandatory. Failure to comply may result in disciplinary action, up to and including termination of employment. In addition failure to comply may result in serious penalties for the employee as well as Cajun, including administrative sanctions (*i.e.*, contract termination, federal suspension and/or debarment), financial penalties, and criminal prosecution. Violations of the laws and regulations addressed in this policy also could result in criminal and civil sanctions, including imprisonment and fines.

## **II. WORK SAFELY: PROTECT YOURSELF, YOUR FELLOW EMPLOYEES, AND THE COMMUNITIES IN WHICH WE LIVE**

Cajun is committed to providing a drug-free, safe, and healthy work environment, to compliance with all applicable environmental laws and regulations that govern workplace health and safety, and to observing environmentally sound business practices. As a government contractor, Cajun has assumed certain responsibilities under Federal programs applicable to companies that conduct business with the United States Government. These programs ensure, among other things, equal employment opportunity for all workers, maintenance of a drug-free workplace, and compliance with environmental laws.

The Drug-Free Workplace Act of 1988 requires Government contractors to provide a drug-free workplace and to notify their employees of the prohibition on unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in the workplace. FAR §§ 23.504(a)(2); 52.223-6(b). Contractors must also establish an ongoing drug-free awareness program and require employees to notify the contractor in writing of the employee's conviction under a criminal drug statute for a violation occurring in the workplace no later than 5 days after such conviction. *Id.* The contractor is then required to report the conviction to the contracting officer and either take appropriate personnel action against the employee or require the employee to satisfactorily participate in a drug abuse assistance or rehabilitation program. *Id.*

Cajun is committed to providing a drug-free work environment for all employees in accordance with the Drug-Free Workplace Act. ***As such, Cajun employees are strictly prohibited from the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in the workplace.*** Any employee who violates this policy will face prompt disciplinary action, which could include dismissal from Cajun. Employees must notify their supervisor within five calendar days of any arrest or conviction regarding a violation of a criminal drug statute occurring in the workplace.

Each of us is also responsible for compliance with environmental, health, and safety laws and regulations. Uphold our safety culture and observe posted warnings and regulations. ***You must immediately report to the appropriate level of management any accident or injury sustained on the job, or any environmental or safety concerns you may have.*** If you have any questions regarding applicable environmental laws and regulations, you may contact your supervisor.

## **III. KEEP ACCURATE AND COMPLETE RECORDS; RECORD COSTS PROPERLY**

### **A. Create Accurate Records**

Cajun is committed to maintaining and providing truthful information that fully complies with all applicable legal disclosure requirements. Accordingly, we must create and maintain accurate and complete company records. Transactions between Cajun and

outside individuals and organizations must be promptly and accurately entered in our books in accordance with generally accepted accounting practices and principles, company policies, and any other applicable accounting standards or regulations (*e.g.*, Cost Accounting Standards). Employees and supervisors are responsible for ensuring that labor and material costs are accurately recorded and charged on the company's records. These costs include, but are not limited to normal contract work and bid and proposal activities. Employees performing United States Government contracts must be particularly careful to ensure that hours worked and costs are applied to the account for which they were in fact incurred. No cost may be charged or allocated to a Government contract if the cost is unallowable by regulations or contract provision or is otherwise improper.

***No one should rationalize or even consider misrepresenting facts or falsifying records. It will not be tolerated and will result in disciplinary action up to and including termination.***

#### **B. Retaining Company Records**

Company records must be retained according to company policies regarding records retention and all applicable laws, regulations and contract requirements. The laws governing Government contracts contain strict rules requiring Cajun to maintain accurate and complete records, even after contract performance has ceased. Government contracts and subcontracts normally contain clauses that require compliance with record retention requirements of the FAR. Regulations governing the retention of records are contained in FAR Subpart 4.7, Contractor Records Retention, which applies to contracts that contain one of the following clauses:

- Audit and Records - Sealed Bidding (FAR 52.214-26)
- Audit and Records - Negotiation (FAR 52.215-2)

FAR 52.215-2, Audit and Records-Negotiation, provides for Contractor maintenance of records and the Government's right to Cajun records documenting contract cost, performance, and supporting records for cost, funding or performance reports. Accordingly, it is essential that Cajun employees maintain accurate and complete records (including records in electronic format) for the period(s) required by the contract and the FAR.

You may never destroy, alter, mutilate or conceal any record if you have been directed to retain it or if you know or contemplate or reasonably believe there is a possibility of any litigation, or any internal or external investigation concerning that record. The Senior Vice President, Law and Compliance may suspend normal records retention procedures as to a particular matter due to requirements imposed by governmental agencies, courts, or other official bodies. The applicable records must be retained throughout the suspension period.

#### **IV. MAKE ACCURATE DISCLOSURES**

##### **A. Promote Transparent and Complete Disclosure**

*We must assure that all statements and disclosures made in all reports, documents, and other communications issued by Cajun are full, fair, accurate, timely, and understandable.* This obligation applies particularly to all accounting and finance employees with responsibility for the preparation of such reports, including drafting, reviewing, and signing or certifying the information contained therein.

If you have concerns about any aspect of our financial disclosures, you should talk to your supervisor, the accounting department, or the Ethics Officer. Any employee who is contacted by another employee expressing concerns about questionable accounting, finance, or auditing matters must immediately report those concerns to the Ethics Officer.

##### **B. False Statements**

Any false statement that is made to the Government, or passed to the Government through a higher-tier contractor, may expose Cajun to severe criminal penalties. Federal law prohibits anyone from knowingly and willfully making any false statement concerning a matter within the jurisdiction of any department or agency of the United States. 18 U.S.C. § 1001. To incur liability under this provision, the statement need not be made directly to the Government. Instead, it is sufficient that the statement could affect some aspect of an agency's function (e.g., false statements to a federal prime contractor may also result in liability). The False Statements Act has been construed broadly by federal prosecutors and courts and extends to both oral and written statements (sworn or un-sworn), forms, certifications, invoices, letters, time cards, receipts and quotes.

*It is Cajun's policy that all statements made to the Government or to a higher-tier contractor be complete, accurate, and up-to-date.* In addition, if a Cajun employee is involved in proposals, bid preparations, or contract negotiations, the employee must be certain that all statements, communications, and representations to prospective Government customers (and prime contractors) are accurate and truthful.

##### **C. False Claims**

Any request for payment or approval that is falsely made to the Government, or passed to the Government through a higher-tier contractor, may expose Cajun to severe civil and criminal penalties. The civil False Claims Act, 31 U.S.C. § 3729, prohibits the knowing submission of false or fraudulent claims to the Government for payment. The consequences of civil False Claim could be: (1) a fine for each false claim; (2) a fine equal to treble damages; and (3) the costs of prosecution. *Id.* False claim actions can be brought directly by the Government or by a private party, or whistleblower, in a *qui tam* action. *Id.* In addition to a civil action, a false claim can lead to conviction under the criminal False Claims Act, 18 U.S.C. § 287, which imposes liability upon those who knowingly make false, fictitious, or fraudulent claims against the United States.

Violation of the criminal False Claims Act can result in severe penalties, including fines for convicted organizations and fines and imprisonment for a convicted individual. *See* 18 U.S.C. §§ 287, 3571, 3581.

***It is Cajun's policy that all claims made to the Government or to a higher-tier contractor be complete, accurate, and up-to-date.*** Further, members of Cajun's management (or someone delegated in their absence) are the only persons at Cajun authorized to approve claims on behalf of Cajun.

#### **D. Cooperate Fully With Government Audits and Investigations**

As a government contractor, Cajun also must be prepared to experience a variety of audits and investigations. Cajun is committed to providing full cooperation in its dealings with government agencies or officials in connection with any investigation, audit or corrective action relating to Cajun's government business, as called for by the clause at FAR 52.203-13. This includes, at a minimum, providing timely and complete information when requested. ***All Cajun employees are therefore required to fully cooperate with company and government auditors and investigators and to be truthful in their communications.*** Employees should consult their supervisor or a representative of the Chief Financial Officer or Senior Vice President, Law and Compliance whenever a request for access to documents is made and before providing any documents to a government agency in connection with an audit or investigation or any other third party. The Chief Financial Officer and Senior Vice President, Law and Compliance are responsible for all decisions regarding the provision of corporate records to the government or any other third party, based on a consideration of the nature of the request, the sensitivity of the information, and other relevant factors. If access is granted or they are provided to the government or a third party, appropriate steps will be taken pursuant to Company policies and procedures to protect the information from further disclosure, including under the Freedom of Information Act. Nothing in this Code, however, should be interpreted as discouraging you from reporting any illegal activity to the appropriate regulatory authority, or as requiring a waiver of the attorney-client privilege or any rights under the Fifth Amendment to the U.S. Constitution.

Government procurement investigations can be classified into four general categories: (1) audits, (2) interviews, (3) subpoenas, or (4) search warrants. Each step of an investigatory process presents unique issues. At all times, there exists the possibility that Cajun or its employees may forfeit or waive certain rights or advantages without knowing them. Accordingly, the company should always obtain legal advice prior to responding to any Government investigation. Employees should likewise immediately notify the Ethics Officer if approached by a Government official in connection with an investigation.

Three overriding principles should guide Cajun in all areas of contact with the Government:

- Cajun and its employees have an absolute right to consult with legal counsel before taking any action. Cajun employees should always obtain legal advice prior to responding to a Government investigation.
- Cajun and its employees must not alter or destroy any documents relating to the investigation or take any action that would improperly hinder the investigation.
- In any conversation with a Government agent, you should either (a) decline to answer or (b) if you do answer, tell the truth.

#### **E. Obstruction of Justice**

The Government uses a variety of criminal statutes to punish and deter interference with Federal audits and investigations. In addition, statutes specifically prohibit employees from engaging in certain behavior:

- Knowingly and willfully making false statements (oral or written) concerning a matter within the jurisdiction of any department or agency of the United States;
- Falsifying, concealing, or covering up a material fact that is required to be disclosed;
- Attempting to influence, obstruct, or impede a Federal auditor in the performance of official duties;
- Attempting to influence, obstruct, or impede the due administration of justice, including grand jury proceedings, investigatory actions such as DCAA audits, and civil litigation by the Government.

In addition to these prohibitions, the Federal witness tampering statute prohibits influencing a witness or informant by threats, force, or misleading conduct with the intent to hinder, delay, or prevent the communication of information to a Federal law enforcement officer regarding the possible commission of an offense. Cajun takes cooperation with Federal audits and investigations seriously. Accordingly, employees must cooperate with investigators and be truthful in their communications.

#### **V. COMPETE ETHICALLY AND FAIRLY AND OBEY ALL LAWS**

Cajun's reputation depends heavily on the actions and integrity of its employees. Additionally, there are numerous laws and regulations that have been enacted to promote integrity and fair competition in the marketplace, including laws and regulations that govern conduct between Cajun companies and government employees and representatives. These laws have been enacted to promote fair competition in the Government marketplace and have been designed to ensure that all businesses working with the Government operate on "a level playing field," and to prevent corruption, fraud, waste and abuse.

Cajun is committed to full compliance with the full range of procurement integrity laws and regulations and will compete fairly and ethically for all business opportunities. *Cajun has a "no tolerance" policy for violation of these laws and regulations, many of which can expose the company and individual Cajun employees to criminal, civil,*

*and/or administrative sanctions.* Familiarity with the policies contained herein will help ensure that Cajun does not engage in unacceptable conduct. If you are unsure of how the law applies to your government-related activities, you should contact your supervisor or the Cajun Ethics Officer.

**A. Carefully Bid, Negotiate, And Perform Contracts**

If you are involved in proposals, bid preparations, or contract negotiations, you must be certain that all statements, communications, and representations to prospective customers are accurate and truthful. This is especially true with respect to communications with United States Government officials or representatives. Moreover, in negotiating contracts with the U.S. Federal Government, there is an affirmative duty in certain circumstances to disclose (and certify) current, accurate, and complete cost or pricing data.

Accordingly, *all personnel involved in the preparation or submission of proposals and bids, or in the negotiation of any contract, order or modification, must be certain that all statements, communications, and representations to Government customers are accurate and truthful.* Once awarded, Cajun personnel involved in the performance or administration of any Government contract must also be certain that all work is performed in compliance with the relevant contract specifications, requirements and clauses, and that all statements, communications, and representations to Government customers – including any claims for payment – are accurate and truthful. Any suspected violations of these obligations, or suspected fraud or improper conduct in connection with any Government contract or subcontract, should be promptly reported to your supervisor, the Cajun Ethics Officer or via the Cajun Help Line.

**B. Proprietary Information**

Proprietary information may not be disclosed to anyone without proper authorization. Keep proprietary documents protected and secure. In the course of normal business activities, suppliers, customers, and competitors may sometimes divulge to you information that is proprietary to their business. Respect these confidences and ensure that you are in full compliance with any proprietary information or non-disclosure agreements.

Additionally, in order to maintain the public's confidence in the integrity of the procurement system, Congress has enacted laws such as the Procurement Integrity Act, 41 U.S.C. § 423, which prohibit the disclosure or receipt of competition-sensitive information before the award of a contract to which the information relates. These prohibitions are intended to maintain a level playing field in competitive procurements by preventing one potential competitor from obtaining an advantage over others by having improper access to sensitive procurement information.

Cajun employees involved with our government business must be aware of and comply with these restrictions on use and receipt of competition-sensitive information, including the following:

- **Prohibitions On Obtaining Competitor Information.** Federal law prohibits a company competing for the award of a Government contract or subcontract from knowingly obtaining, and current or former Government employees from knowingly disclosing, “contractor bid or proposal information” before the award of a Federal contract to which the information relates. For purposes of this prohibition, “contractor bid or proposal information” includes any of the following information submitted to a Federal agency as part of or in connection with a bid or proposal, if that information has not been previously made available to the public or disclosed publicly:
  - Cost or pricing data
  - Indirect costs and direct labor rates;
  - Proprietary information about manufacturing processes, operations, or techniques marked by the contractor in accordance with applicable law or regulation; or
  - Information marked as “contractor bid or proposal information.”
  
- **Prohibitions On Obtaining Source Selection Information.** Federal law also prohibits a company competing for the award of a Government contract or subcontract from knowingly obtaining, and current or former Government employees from knowingly disclosing, “source selection information,” which includes:
  - Bid prices submitted to the Government, as well as proposed costs or prices submitted to the Government;
  - Source selection plans and technical evaluation plans;
  - Evaluations of technical and cost/price proposals, competitive range determinations, rankings of bids, proposals, or competitors, and/or reports and evaluations of source selection panels, boards, or advisory councils; and
  - Other information marked “Source Selection Information.”

Criminal, civil, and administrative penalties are prescribed for improper disclosure and receipt of these types of information. Accordingly, *Cajun does not solicit nor will it receive any sensitive proprietary Government information, including budgetary or program information, before it is available through normal processes. Nor will Cajun solicit or receive any proprietary bid and proposal information of its competitors.* In circumstances where you have reason to believe that the release to you of non-public information is unauthorized, you should not accept such information from any source. If despite your best efforts such information is received by you:

- Do not read the information or if you have begun reading the information, immediately stop reading it;
- Immediately quarantine the information;
- Ensure that no other person reviews the information; and
- Promptly notify the Ethics Officer and the Senior Vice President, Law and Compliance.

Further, in situations where Cajun is lawfully in possession of “contractor bid or proposal information” or “source selection information” before the award, employees are prohibited from improperly disclosing it.

### C. Gifts, Gratuities, And Business Courtesies

Federal law prohibits the giving, offering, or discussion of offering of anything of value, called a gift or gratuity, to a Government employee or representative for or because of an official act. Moreover, anything of value offered or given to a relative of a Government employee or representative may be considered an offer directly to the individual with whom that business relationship exists. You also should know that Federal, state, and local government departments and agencies are governed by laws and regulations that prohibit their employees from accepting business courtesies from firms and persons with whom those departments and agencies do business or over whom they have regulatory authority.

The rules governing gifts to Government employees or representatives are strictly interpreted. ***Therefore, it is Cajun’s policy that no employee shall give, offer, or discuss offering a business courtesy, regardless of value, to any employee or representative of the United States Government.*** Although narrow exceptions to these rules may exist under certain circumstances, you should never rely on any of these exceptions to the general rule prohibiting business courtesies to Government employees and representatives. Instead, prior to offering any business courtesy in any amount to any Government employee or representative, you must receive written approval from the Senior Vice President, Law and Compliance.

Failure by any Cajun employee to observe and follow Cajun’s policies on gifts and gratuities to and from Government employees and representatives may result in severe penalties to the individual and possibly to Cajun. These penalties may include, but are not limited to, administrative sanctions (e.g., contract termination, Federal suspension and/or debarment of Cajun), financial penalties, and criminal prosecution. Violations of the laws and regulations governing gifts and gratuities also could result in criminal and civil sanctions including imprisonment and fines of up to \$500,000. Cajun will discipline any employee who violates its gift and gratuity policy. Such disciplinary action may include suspension, transfer or dismissal, deductions and set-offs from employee compensation, and other appropriate action.

## 1. Improper Payments/Bribery

Bribery of a public official is a serious criminal offense. A bribe is defined as a thing of value given with the specific intent to influence an official act (or failure to act) or to obtain favorable treatment. Cajun and its employees will not, directly or indirectly, offer, solicit, make or provide any kind of payments, favors or contributions for the purpose of:

- Obtaining, giving, or keeping business;
- Influencing customers, suppliers, or United States or foreign government entities including their officials or employees;
- Persuading any officials or employees of another company to fail to perform or to improperly perform their duties; or
- Influencing legislation or regulations other than through appropriate lobbying and legitimate political activity.

Engaging in any of these actions with United States public officials can be perceived as bribes. A number of Federal laws prohibit the giving and receipt of bribes to public officials and make it a crime for a public official to ask for or accept a bribe. Penalties for violating these laws are severe, for both the company and the individual. ***Therefore, you must avoid any action that creates even the appearance of a violation of these bribery laws.*** Any employee who is offered or has information concerning such payments, favors, or contributions must contact the Senior Vice President, Law and Compliance immediately. Cajun's "no tolerance" policy for violations of the bribery laws will result in the dismissal of the employee(s) and may also result in criminal prosecution by the Government.

## 2. Kickbacks

Cajun is committed to ensuring that all transactions and business dealings with its prime contractors, subcontractors, and suppliers are conducted fairly, in accordance with the Cajun Code and in compliance with the provisions of the Anti-Kickback Act of 1986, 41 U.S.C. §§ 51-58. The Anti-Kickback Act forbids prime contractors and subcontractors from offering, soliciting, providing, or accepting anything of value for the purpose of obtaining or rewarding favorable treatment in connection with the award of United States Government prime contracts and subcontracts. The Act also imposes an affirmative obligation on contractors such as Cajun to report violations to the Government where there are reasonable grounds to suspect a violation exists.

The Anti-Kickback Act is broadly interpreted and vigorously enforced. The term "kickback" is broadly defined to include:

any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided, directly or indirectly, to any prime contractor, prime contractor employee, subcontractor, or subcontractor

employee for the purpose of improperly obtaining or rewarding favorable treatment in connection with a prime contract or in connection with a subcontract relating to a prime contract.

41 U.S.C. § 52; FAR 3.502-1.

The concept of “favorable treatment” is likewise broadly defined to include, but is not limited to:

- Disclosure or receipt of confidential information relating to competitor bids;
- Knowingly accepting or providing inferior products which do not meet contract specifications;
- Placement on a bidder’s list without meeting the requisite qualifications;
- Removal of a qualified competitor from a bidder’s list;
- Adding or recovering improper or unallowable expenses; and
- Improper award of a subcontract or orders under a subcontract.

For example, any money, meals, trips, lodging, tickets to sporting events, loans, transportation, beverages, or personal services given to a representative of a customer involved in Government contracting or subcontracting may be considered a violation of the Anti-Kickback Act if it is provided for the purpose of obtaining or awarding favorable treatment in connection with a Government prime or higher-tiered subcontract.

In light of these restrictions, it is Cajun’s policy that:

- Cajun must never pay, offer, or give a kickback in an effort to receive a contract or subcontract;
- Cajun must never solicit or receive a kickback from any party seeking a contract;
- Cajun must never include, directly or indirectly, the amount of any kickback (i) in the contract price charged by a Cajun subcontractor to a higher tier subcontractor or to Cajun or (ii) in the contract price charged by Cajun to the United States Government or to a prime contractor.

***Any employee who offers, provides, solicits, accepts or discusses offering or accepting a “kickback” will face prompt disciplinary action, which could include dismissal from Cajun.*** The employee may also face criminal, civil, and/or administrative prosecution by the Government. If you have reason to suspect a violation has occurred, contact the Ethics Officer and the Senior Vice President, Law and Compliance.

### 3. Business courtesies to non-government persons

It is an acceptable practice for Cajun employees to provide meals, refreshments, entertainment, and other business courtesies of reasonable value to non-government persons in support of commercial business activities, provided that the business activity is not related to or in connection with a contract with the government (either prime or subcontract) and:

- The practice does not violate any law, regulation, contract requirement, or the standards of conduct of the recipient's organization;
- The courtesy is associated with a proper business, purpose, is reasonable in cost, appropriate as to time and place;
- The courtesy is not provided for the purpose of influencing or giving the appearance of influencing the recipient; and
- The business courtesy must be consistent with marketplace practices, infrequent in nature, and may not be lavish or extravagant. While it is difficult to define "lavish or extravagant" by means of a specific dollar amount, a common sense determination should be made consistent with reasonable practices.

Approval may be granted by the Ethics Officer or the Senior Vice President, Law and Compliance on a case-by-case basis for Cajun personnel to provide hospitality to non-government persons at widely-attended industry functions.

### 4. Foreign Corrupt Practices

Cajun's policy against gifts, gratuities, bribes, and improper payments extends to officials of foreign governments and public international organizations. Cajun's commitment to the highest ethical and legal standards includes a commitment to compliance with the Foreign Corrupt Practices Act. 15 U.S.C. §§ 78m, 78dd-1 to 78dd-3. ***Accordingly, no officer, employee, or third-party representatives or persons acting on their behalf shall give or offer to give anything of value to any foreign government official for the purpose of influencing such individual in his official capacity or causing such official to influence the foreign government in order to obtain or retain business or to secure any improper advantage.*** Even mere offers to make payments to influence foreign government officials (either made directly or through a third party) that are unsuccessful are prohibited.

Companies and individuals found in violation of the Foreign Corrupt Practices Act may be subject to substantial civil and/or criminal fines, suspension and/or debarment from Federal contracting, imprisonment, and/or forfeiture of property. If you have any reason to suspect that a violation has occurred, you must contact [senior management] immediately.

**D. Business Courtesies To Cajun Employees**

Although an employee may not use his or her position at Cajun to solicit or receive business courtesies, it is permissible to accept unsolicited meals, refreshments, entertainment, and other business courtesies on an occasional basis, provided:

- The acceptance does not violate the Anti-Kickback Act and is otherwise consistent with law;
- The acceptance will foster goodwill and successful business relations;
- The courtesies are not lavish or extravagant under the circumstances;
- The courtesies are not frequent and do not reflect a pattern or the appearance of a pattern of frequent acceptance of courtesies from the same entities or persons; and
- The employee accepting the courtesies would feel comfortable discussing the courtesies with his or her manager or coworker, or having the courtesies known by the public.

It is the personal responsibility of each employee to ensure that his or her acceptance of such meals, refreshments, entertainment, or business courtesy is proper and could not reasonably be construed in any way as an attempt by the offering party to secure favorable treatment.

If you buy goods or services for Cajun or are involved in the procurement process, you must treat all suppliers uniformly and fairly. In deciding among competing suppliers, you must objectively and impartially weigh all facts and avoid even the appearance of favoritism or impropriety. If you have any questions or concerns you should contact your supervisor, the Cajun Ethics Officer or the Senior Vice President, Law and Compliance.

**E. Know And Follow The Rules In Working With Former Government Officials**

Extensive conflict of interest laws and regulations govern the employment or use of former military and civilian government personnel. These rules extend to contact or negotiations with current government employees to discuss their potential employment by the company or their use as consultants or subcontractors. Cajun employees must be alert to the effect of these restrictions on Cajun's activities in the Federal marketplace:

1. Hiring Former Government Officials

- *Restrictions On Employment Discussions:* The Federal Government has enacted a number of conflict of interest laws and regulations that the employment or use of former military and civilian Government personnel. For example, under the Procurement Integrity Act, certain designated

former agency officials involved in a procurement over \$10 million (including but not limited to the Contracting Officer, the source selection authority, the program manager, deputy program manager or administrative Contracting Officer) are prohibited from accepting compensation from any company involved in the procurement as an employee, officer, director, or consultant for one year. Similarly, Cajun employees must not engage in employment discussions with an agency official who is participating personally and substantially in a competitive Federal agency procurement in excess of \$100,000 where Cajun is competing as a prime contractor or subcontractor in connection with that competitive procurement.

- *Obtaining Agency Ethics Opinions.* Federal law also prohibits contractors from knowingly paying compensation to certain former DoD official within two years after the official leaves DoD, without first determining that the official "has sought and received (or has not received after 30 days of seeking) a written ethics opinion" from the relevant DoD ethics official. (Pub. L. No. 110-181, Sec. 847) These restrictions apply to officials in the Senior Executive Service or an Executive Schedule position, as well as general or flag officers and certain procurement officials. Because the penalties for violating these restrictions are severe, and can include rescission of existing contracts or suspension or debarment from future contracts, you should consult with [senior management] and Human Resources to ensure appropriate ethics opinions are obtained before hiring former DoD officials.

***Cajun will not discuss employment opportunities with Government employees without first complying with applicable procedures for doing so, including receipt of a written ethics opinion from the employee's ethics counsel, which is subject to review and approval by Cajun counsel.*** Prior clearances to discuss possible employment with, to make offers to, or to hire (as an employee or consultant) any current or former Government employee (military or civilian) must be obtained from the Senior Vice President, Law and Compliance.

## 2. Post-Government Employment Restrictions/Conflicts Of Interest

In addition to the restrictions on hiring Government employees, Federal conflict of interest laws also place restrictions on the activities that former Government employees may undertake on behalf of Cajun:

- Former Government employees are *permanently barred* from knowingly communicating with the Government on behalf of another entity with the intent to influence the Government on matters that the former Federal employee *personally and substantially* worked on during their employment with the Government. 18 U.S.C. § 207(a)(1). (Note: This former employee may however work "behind the scenes" by advising other persons preparing

the entity's contract proposal, subject to applicable prohibitions on disclosure of information.)

- For a period of *two years*, former Federal employees are prohibited from communicating with the Government regarding matters for which the former employee had *official responsibility*. 18 U.S.C. § 207(a)(2).
- For a period of *one year*, former Federal employees who occupied certain senior and very senior positions are prohibited from knowingly communicating or appearing on behalf of any other person, before the department or agency in which the former employee served. 18 U.S.C. § 207(c), (d).
- For a period of *one year*, all former Federal employees are prohibited from aiding or advising anyone concerning ongoing trade or treaty negotiations in which the former employee personally and substantially participated and had access to protected information. 18 U.S.C. § 207(b).
- Finally, no *current* Government employee may participate personally and substantially in a matter affecting the financial interest of any entity with whom the employee is negotiating employment or has any arrangement regarding future employment. 18 U.S.C. § 208.

Whenever a former Federal employee is hired, any restrictions placed on his/her activities under these restrictions should be noted in that employee's personnel file. Cajun employees are required to review such restrictions prior to staffing former Government employees on a matter, and former Federal employees employed by Cajun are required to notify their superiors of such restrictions prior to being staffed on a matter. ***Any employee who violates these policies will face prompt disciplinary action, which could include dismissal from Cajun.*** The employee may also face civil/criminal prosecution by the Government.

## **VI. LOBBYING RESTRICTIONS/POLITICAL ACTIVITIES**

Cajun encourages its employees to become involved in civic affairs and to participate in the political process. Our company believes strongly in the democratic political process and encourages employees to participate personally on their own time in that process. Employees must understand, however, that their involvement and participation must be on an individual basis, on their own time, and at their own expense. Federal law prohibits corporations from donating corporate funds, goods, or services, directly or indirectly, to candidates for Federal offices—this includes employees' work time. Federal law also prohibits government contractors from using appropriated Federal funds to influence or attempt to influence an officer or employee of an executive agency, a Member of Congress or his or her employees, or an officer or employee of Congress, in connection with certain activities, including: (a) the awarding of any Federal contract; or (b) the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. See 31 U.S.C.A. § 1352(a). In addition,

Federal law requires that contractors disclose lobbying contacts made in connection with particular government contracts, even when those contacts do not involve appropriated funds. Finally, local and state laws also govern political contributions and activities as they apply to their respective jurisdictions.

Thus, a corporation's activities are limited significantly by Federal and state law. For this reason, no political contribution of corporate funds or use of corporate property, services, or other assets may be made without the written approval of the Senior Vice President, Law and Compliance. In this connection, indirect expenditures on behalf of a candidate or elected official, such as travel on corporate aircraft or use of telephones, photocopy machines, facsimile machines, and other corporate equipment, may be considered corporate contributions. In no event will an employee be reimbursed in any manner for political activities. Any questions should be referred to the Senior Vice President, Law and Compliance.

## **VII. STRICTLY COMPLY WITH ALL ANTITRUST LAWS**

Antitrust is a blanket term for laws that protect the free enterprise system and promote open and fair competition. These laws deal with agreements and practices such as price fixing, boycotting suppliers or customers, pricing intended to run a competitor out of business, disparaging, misrepresenting, or harassing a competitor, stealing trade secrets, bribery, and kickbacks.

Antitrust laws apply to all domestic and some foreign transactions by United States businesses. Because verbal exchanges can be viewed as an agreement, you need to exercise caution whenever you meet with customers or competitors. Some of the most common antitrust issues with which an employee may be confronted are in the areas of pricing, bid rigging, market allocation, boycotts, and trade association activity.

The following actions may be perceived as anti-competitive and, accordingly, may constitute violations of law and must not be engaged in under any circumstances:

- An agreement with one or more competitors to agree on prices, allocate markets or customers, boycott certain suppliers, or limit production or quality;
- Any form of collusive action in pricing a bid to a customer such as bid rigging;
- An agreement with a customer to dictate resale prices, give preferential pricing or terms, restrict marketing efforts (territory, customers), require tie-in sales (require purchase of one product as condition of selling another), or engage in reciprocal dealing.

Antitrust laws are vigorously enforced. Violations may result in severe penalties such as significant fines against Cajun. There may also be sanctions against individual employees, including substantial fines and prison sentences. Because the antitrust laws are complex, employees are instructed to take special care in this area. This Code is not a substitute for legal advice. *Any questions on the interpretation of the antitrust laws should be referred promptly to the Senior Vice President, Law and Compliance.*

## **VIII. CONTINGENT FEES**

Federal law limits Cajun's ability to enter into "contingent fee" arrangements. See 10 U.S.C. § 2306(b); 41 U.S.C. § 254(a); FAR 3.402. The prohibited "contingent fees" are defined as any commission, percentage, brokerage, or other fee that is contingent upon the success that a person or concern has in securing a Government contract. FAR 3.401.

An exception exists for "contingent fee" arrangements between contractors and a "bona fide agency" or "bona fide employee." 10 U.S.C. § 2306(b); 41 U.S.C. § 254(a); FAR 3.402. A "bona fide agency" is defined as an "established commercial or selling agency, maintained by a contractor for the purpose of securing business that neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government . . . contracts through improper influence." FAR 3.401. A "bona fide employee" is defined as "a person, employed by a contractor and subject to the contractor's supervision and control as to time, place, and manner or performance, who neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government . . . contracts through improper influence." *Id.*

***Cajun prohibits the use of "contingent fee" arrangements with any entities other than "bona fide agency" or "bona fide employee."*** If you are approached regarding entering into a contingent fee arrangement with a person or agency, immediately contact the Senior Vice President, Law and Compliance.

## **IX. AVOID PERSONAL CONFLICTS OF INTEREST**

***It is Cajun's policy that all of its business transactions and relationships must be free from even the appearance of impropriety.*** It is the responsibility of all Cajun employees to act in a fair and impartial manner in all business dealings, to place the interests of Cajun over personal interests in matters relating to Cajun business, and avoid financial, business, or other transactions or situations in which personal interests might conflict with, or be construed to conflict with, the interests of Cajun. Such situations may arise from relationships with customers, competitors, and suppliers, present or prospective employees, or from the acquisition or use of company assets for personal gain.

Cajun is committed to ensuring that all transactions and business dealings with its prime contractors, subcontractors, and suppliers are conducted fairly and in accordance with the Code of Business Ethics and Conduct. "Playing favorites" or having conflicts of interest—in practice or in appearance—runs counter to the fair treatment to which we are all entitled. Avoid any relationship, influence, or activity that might impair, or even appear to impair, your ability to make objective and fair decisions when performing your job. You must notify the Ethics Officer or the Senior Vice President, Law and Compliance of all benefits you obtain from third parties because of your position, and must pay over to the company all such benefits that are capable of being transferred. Benefits subject to notification include, for example, interest-free or low-interest loans.

Although it is virtually impossible to list every circumstance that may create the appearance of a conflict of interest, here are some other ways a conflict could arise:

- Employment by a competitor or potential competitor, regardless of the nature of the employment, while employed by Cajun.
- Acceptance of gifts, payment, or services from those seeking to do business with Cajun.
- Placement of business with a firm owned or controlled by an employee or his/her family.
- Ownership of, or substantial interest in, a company that is a competitor or a supplier.
- Acting as a consultant to a Cajun customer or supplier.

Apparent conflicts of interest can arise easily. Any employee who feels that he or she may have a conflict situation, actual or potential, should report all pertinent details to the Ethics Officer or the Senior Vice President, Law and Compliance.

Outside employment also may constitute a conflict of interest if it places an employee in the position of appearing to represent the company, involves providing goods or services substantially similar to those the company provides or is considering making available, or lessens the efficiency, alertness, or productivity normally expected of employees on their jobs. All outside employment that raises any question in this regard must be approved in advance by the employee's immediate supervisor and Human Resources.

## **X. ORGANIZATIONAL CONFLICTS OF INTERESTS**

Cajun also must be attentive to so-called "organizational conflicts of interest" which may result from prior Government work performed by the company. The organizational conflicts of interest rules address the general situation where, because of previous work for the Government, a company is deemed to be unable to provide impartial assistance or advice to the Government, the company's objectivity in performing work is impaired, or the company has an unfair competitive advantage.

Such a situation may occur, for example, where a company under contract with a Federal agency develops specifications for an item that will be the subject of a future competitive acquisition. Other such situations may arise where a contractor provides systems engineering and technical direction for a system or provides proposal evaluation for products and services. In such circumstances, the company may be precluded from competing to provide the item for which it developed the specifications, or it may be required to implement certain measures (such as "firewalls," non-disclosure agreements and other organizational controls) to mitigate the potential conflict.

In addition, as a Government contractor, Cajun may be required to select its subcontractors and suppliers, including Cajun subsidiaries or affiliates, on a competitive basis. In those cases, where a Cajun entity or business unit may be a potential subcontractor or supplier to another Cajun entity or business unit under a Government

contract, special attention must be given to ensure that the negotiations and competition are conducted fairly and impartially and that the ultimate negotiated price is fair and reasonable.

Cajun employees must be attentive to situations that may create potential organizational conflicts of interest. Employees must also be sure to comply with any restrictions imposed to mitigate potential conflicts. *If you believe an organizational conflict of interest could exist for work Cajun seeks with the United States Government, or have any questions regarding mitigation requirements, please contact the Ethics Officer or the Senior Vice President, Law and Compliance.*

## **XI. SUSPENDED AND DEBARRED CONTRACTORS**

Federal regulations restrict the ability of contractors to subcontract with individuals or entities that are debarred, suspended, or proposed for debarment. FAR § 52.209-6. It is Cajun's policy not to do business with such persons or companies in the Government marketplace. Thus, Cajun will not, in the performance of United States Government contracts and subcontracts at any tier, knowingly form a new contract with, make a new purchase from, or enter into any new business, relationship with any individual or company that is listed by a Federal agency as debarred, suspended, or proposed for debarment.

The United States Government publishes a list of persons and companies that are suspended or debarred from performing Government contracts, the Excluded Parties List System ("EPLS"). The EPLS, which can be accessed online at <http://epls.arnet.gov>, should be reviewed prior to engaging the services of any individual or entity in connection with any of Cajun's Government contracts.

## **XII. CONTRACT PERFORMANCE**

### **A. Quality Control**

We are committed to producing quality products that meet all contractual obligations and our own quality standards. The products we deliver must:

- Meet contract specifications.
- Be made from the quality of materials ordered.
- Be properly tested and inspected.
- Be properly identified as to domestic or foreign-origin, if applicable.
- Be safe for their normally intended uses, and be accompanied by proper instructions.
- Meet all applicable laws and regulations and industry standards.

Our comprehensive quality control system helps to ensure that all our customers, including the Federal Government, receive the highest quality product at a reasonable price. It also is essential that you monitor the quality of Cajun's products and services and uphold Cajun's reputation for quality.

**B. Relations with Prime Contractors**

A number of laws and regulations applicable to prime contractors dealing with the Government do not directly apply to subcontractors. However, it is essential that you recognize and acknowledge the spirit of those regulations in dealing with prime contractors. With the increased emphasis on propriety in Government contracting, many prime contractor obligations and certification requirements are now being passed on to subcontractors. You must carefully consider and comply with all the obligations a prime contractor passes onto Cajun in a subcontract. Following these guidelines furthers Cajun's policy that all of its sales as well as all of its purchases of products and services will be accomplished in a manner that preserves the integrity of the procurement process.

**C. Submission of Cajun Information**

It is common for Federal contractors or subcontractors to receive requests for submission of information (including information relating to Cajun's pricing policies and/or cost) from either a prime contractor or the Government relating to a Cajun proposal and/or Cajun's contract performance. Any request for submission of Cajun information received from the Government, a prime contractor, or higher-tier subcontractor must be reviewed by the Chief Financial Officer. No submission of Cajun information relating to a Federal procurement or representations and/or certifications (oral or written) as to the information to be submitted may be made without prior approval. The Chief Financial Officer or his/her designee, is the only person at Cajun authorized to execute certifications on behalf of Cajun or approve the submission of pricing information in connection with a Federal prime contract or subcontract customer.

Finally, any Cajun confidential or proprietary information to be included as part of an information submission must be appropriately marked as being provided by Cajun Industries, LLC and with restrictive legends to prevent unauthorized use and/or disclosure. Consult the Senior Vice President, Law and Compliance to confirm the appropriate restrictive markings.

**D. Contract Claims**

When disagreements arise under contracts involving Cajun and the Government, there are detailed procedures Cajun must follow in order to resolve any disputes. Cajun's contracts with the United States Government require that Cajun submit written "requests for equitable adjustments" or "claims" when Cajun seeks additional payment from the Government under its contract. Many times, circumstances will require that Cajun "certify" its claim to the Government along with its submission of a claim. This submission—like all others to the United States Government—is subject to false statements and false claims provisions. Under any circumstances, you must take great

care in preparing claims and ensuring that all statements, representations, and monetary amounts in the claim are complete and accurate in all respects. All requests for equitable adjustments and claims must be approved by the Company President or his/her designees prior to submission to the Government.

### **XIII. COMPLIANCE & ENFORCEMENT**

#### **A. Responsibility, Enforcement**

The Cajun Ethics Officer has been given responsibility for the implementation, monitoring and enforcement of this Code, including the initial assessment of reports of wrongdoing and implementation of any “corrective action.” If any Cajun employee has any questions concerning this policy, please contact the Ethics Officer at: 877-754-1386.

#### **B. Internal Reviews**

Cajun will conduct both periodic internal and, when necessary, external compliance audits of its business practices, procedures, policies, and internal controls to ensure conformance with this Code of Business Ethics and Conduct, as well as the special requirements of Government contracting. These audits may include unannounced spot audits. Cajun employees shall fully cooperate during these audits. Cajun will also periodically review our Code in order to ensure continuing compliance with all applicable Federal laws and regulations.

#### **C. Obligation to Report**

Cajun has an affirmative obligation under the law to report certain violations to the Government where Cajun has credible evidence that a violation has occurred. ***You are also expected to immediately report any suspected violations of the law, the Code, or other irregularities by any Cajun principal, supervisor, employee, agent, or subcontractor under a government contract.*** Reports may be made to your supervisor, the Cajun Ethics Officer, or Cajun management. You should not personally investigate the activity or confront the suspected individual(s). All reports of improper conduct will be treated confidentially to the extent permitted by law, and investigated (by Cajun or an outside party retained by Cajun) and reported as appropriate to government authorities if Cajun determines that there is credible evidence of prohibited conduct.

If an employee is uncomfortable reporting a potential violation to his or her supervisor or if they believe appropriate action has not been taken following such a report, the employee may report the matter through the Cajun Help Line at 877-754-1386. If the report involves the conduct of the Ethics Officer, reports may be made to the Senior Vice President, Law and Compliance.

#### **D. Non-Retaliation and Whistleblower Protections**

Consistent with the “whistleblower” protections contained in Federal statutes and regulations (including FAR Subpart 3.9), Cajun and its employees are prohibited from discharging, demoting, or otherwise discriminating against an employee as a reprisal for

disclosing information to a member of Congress, or an authorized official of a Federal agency or the Department of Justice, relating to a substantial violation of law in connection with a Federal contract. ***No adverse action or retribution of any kind will be taken against an employee because he or she reports a suspected violation of this Code or any other irregularity.*** It is Cajun's policy to take all reasonable and necessary steps to prevent such retaliation.

#### **E. Employee Discipline**

***Failure to comply with the Code of Business Ethics and Conduct will result in disciplinary action that may include sanctions ranging from simple warning to termination, referral for criminal prosecution, and reimbursement to Cajun for any losses or damages resulting from violation.*** As with all matters involving disciplinary action, principles of fairness will apply. Any employee charged with a violation of the Code will be afforded an opportunity to explain his or her actions before disciplinary action is taken.

Employees subject to disciplinary action include:

- Employees who authorize or participate directly in actions that constitute a violation of the Code;
- Employees who have deliberately failed to report a violation or deliberately withheld relevant and material information concerning a violation of the Code;
- Any violator's managerial superiors, to the extent that the circumstances of the violation reflect inadequate supervision or a lack of diligence;
- Any supervisor who retaliates, directly or indirectly, or encourages others to do so, against an employee who reports a violation of the Code.

#### **F. Warning Signs**

Experience has shown that the possibility of a potential violation of these Standards and the underlying law increases to the extent an individual makes *any* of the following statements in considering a potential cause of action:

- "Well, maybe just this once . . ."
- "No one will ever know . . ."
- "It doesn't matter how it gets done as long as it gets done."
- "It sounds too good to be true."
- "Everyone does it."

- “Shred that document.”
- “We can hide it.”
- “No one will get hurt.”
- “What’s in it for me?”
- “This will destroy the competition.”
- “We didn’t have this conversation.”

Such phrases serve as warning signs. Employees should think twice about their and others’ actions when such phrases are used.

### **G. Quick Quiz**

When in doubt, whether or not an action adheres to the Cajun Code of Business Ethics and Conduct, an employee should consult the Cajun resources for assistance. In addition, an employee may find it instructive to take the following “Quick Quiz” and ask the following questions to “make sure” he/she has made the right decision:

- Are my actions legal?
- Am I being fair and honest?
- Will I be proud of my action?
- How would I feel if I learned that my competitor had taken the action I am contemplating?
- How would I feel if my family, friends and neighbors knew what I was doing?
- Will my action stand the test of time?
- How will I feel about myself afterwards?
- How will it look in the newspaper?
- Will I sleep soundly tonight?
- What would I tell my child to do?

**RECEIPT AND ACKNOWLEDGMENT**

I acknowledge that I have received my personal copy of the Code of Business Ethics and Conduct. I understand that each Cajun officer, employee, agent, consultant, and contract worker is responsible for knowing and adhering to the principles and standards of the Code. I hereby certify that I have read and will comply with the Code.

(Signature)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Date)