



## Supervisory Committee Application Form

Please mail completed Supervisory Committee Application, Disclosure, and Oath of

Declaration by January 11, 2019 to:

HawaiiUSA FCU • Attn: Nominations Committee

1226 College Walk • Honolulu, HI 96817

Name:
Member Number (last 3 digits):
Date joined Credit Union:
Address:
Home Phone Number:
Work Phone Number:
Cell Phone Number:
Email Address:
If you are related to any HawaiiUSA FCU Staff, Board of Directors, or Volunteers, state their name(s) and relationship(s):

### Employment History:

Include five most significant, in order, starting with most current.

Employer	Position/Title	Date Started	Date Ended

**Degrees, Certifications, Significant Awards:**

Include five most significant. Include name of organization, field of study, and date awarded.


**Volunteer or Community Involvement Activities:**

Include five most significant. Include name of organization, office held (if any), and date started and date ended.

Organization	Office Held (if any)	Date Started	Date Ended

**HawaiiUSA FCU or other Financial Institution Experience/Training:**

Include five most significant. Include the course/program/institute/committee(s) you have completed/served, and dates.

Course/Program/Institute/Committee(s)	Date(s)

**References:**

Please provide two references not related to you. No current HawaiiUSA FCU Director, Volunteer, and/or Employee may be used as a reference. The Nominations Committee may contact these references during regular business hours.

1	Name:	Occupation:
	Address:	
	Phone Number:	Years Know:
2	Name:	Occupation:
	Address:	
	Phone Number:	Years Known:

**State why you would like to serve on the Supervisory Committee. (250 word maximum)**

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**By signing below, I certify and commit to the following:**

1. I certify that the information contained in this application are true and correct to the best of my knowledge, and understand that any false or misleading statements or omission, whenever discovered, regarding this application is a reason for disqualification from further consideration. You have my permission to contact those listed as references, employers, schools, and persons to release information to HawaiiUSA FCU and agree that there shall be no liability for issuing such information.
2. I certify that I have never been convicted of a felony or a financially-related misdemeanor.
3. I authorize HawaiiUSA FCU to obtain credit reports, criminal reports, and bondability checks in connection with this application.
4. I have read and understand the Volunteer Code of Conduct set forth by HawaiiUSA FCU. I accept the consequences which may arise if this is violated. I also acknowledge my responsibility to engage in safe and sound financial practices under the guidelines of the National Credit Union Administration's Rules and Regulations and the Federal Credit Union Act.
5. I will be available on Tuesday, January 23, 2018 for an interview session with the Nominations, Elections, and Volunteer Committee.

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**Signature**

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**Date**

# **VOLUNTEER CODE OF CONDUCT**

This Code of Conduct will govern the activity of all volunteers of the HawaiiUSA Federal Credit Union (HawaiiUSA FCU). It is a general policy requiring volunteers to exercise the highest standard of care in the fulfillment of their duties through sound judgement and integrity.

## **A. Standards of Conduct**

HawaiiUSA FCU is a member-owned, non-profit cooperative thrift institution. The proper management of the members' assets is the fiduciary responsibility of the employees, directors, committee members and volunteers, which therefore requires these custodians to exemplify the highest standards of ethical, moral and personal conduct at all times as well as to strictly uphold the laws, by-laws, rules, policies and regulations relating to the operation of the credit union.

1. All actions shall be consistent with the goals of the credit union.
2. Volunteers shall exhibit loyalty to the credit union at all times and must avoid conduct that may injure or harm the credit union's reputation in the community, including but not limited to criminal conduct.
3. Volunteers shall keep in strict confidence information regarding each member and the business of the credit union. Confidential and proprietary information shall not be released unless required by law.
4. Volunteers shall at all times conduct themselves in a moral, decent and legal manner and exercise honesty in the performance of their duties.
5. Volunteers shall not publicly disparage the credit union or campaign against an action of the Board or Supervisory Committee; discussion by volunteers of business decisions shall be performed at a Board or Committee level, not with the public.
6. Volunteers shall not participate in the credit union's deliberation on or attempt to affect the outcome of any matter that involves the specific personal interest of a volunteer and his/her family members;\* and shall keep confidential any action or decision to which the volunteer may become privy regarding family members or other contacts.
7. Volunteers shall engage in discussion with other volunteers in a civil and business-like manner.

## **B. Conflicts of Interest**

To maintain the highest standards of conduct, volunteers should avoid conflicts of interest and not use their positions directly or indirectly for private gain,

to advance personal interest, or to obtain special benefits or treatment for themselves, their families\*, or other persons.

1. Outside business interests should be treated with extreme caution. Any business, employment, or financial interest of a Volunteer in a vendor of or counterparty to the credit union should be disclosed to the Board of Directors.
2. Active licenses, such as real estate sales, insurance sales, or securities trading should be disclosed to HawaiiUSA FCU.

Questions under this paragraph shall be referred to the Supervisory committee for clarification.

#### C. Prohibited Conduct

##### 1. Fees

Acceptance of personal fees or commissions for performing credit union duties is prohibited. Exception: This prohibition does not apply to employees who are normally compensated on a commission or fee-for-service basis. Only a specified number of employees may be Volunteers, per the Bylaws. Volunteers will also not accept fees, commissions, or gifts in violation of paragraph 4 below.

##### 2. Signatures\*\*

Volunteers may not sign on a member's account or otherwise represent a member other than as an officer of a charitable or volunteer organization, as a joint account holder, or as a parent or legal guardian of minor children. This paragraph shall not be interpreted to prohibit spouses or other family members acting under a valid power of attorney.

##### 3. Relationship to Other Financial Institutions

Volunteers are not allowed to serve as an employee, consultant, committee member, officer or director of another credit union, commercial bank, savings bank, trust company, savings and loan association, industrial bank, and holding company of a savings and loan bank, except as disclosed to and approved by the Board of Directors. Volunteers are not allowed to own any financial interest, through stocks or otherwise, in any of the above listed financial institutions which would interfere with the duties of his or her position with the credit union; interference with duties, for the purposes of this paragraph, includes but is not limited to ownership of a controlling interest in a direct competitor of the credit union.

##### 4. Gifts

Volunteers or their family members may not solicit or accept from nor give gifts, services or other items of value to anyone doing business or seeking to do business with this credit union.

a. Meals or hospitality expenses of reasonable value which will not influence the performance of their duties may be accepted or provided by authorized volunteers in the course of establishing or sustaining necessary business relationships, and provided that the expenses would be paid for by the credit union if not paid for by the other party as a reasonable business expense.

b. Promotional or advertising material of reasonable value may be accepted, such as pens, pencils, note pads, key chains, calendars, or similar items.

c. Discounts or rebates on merchandise or services that do not exceed those available to other members may be accepted.

d. Gifts based on obvious family or personal relationship may be accepted where the circumstances are clear that the relationship and not the business of this credit union was the motivating factor, or gifts of a reasonable value (not above \$200) that are related to commonly recognized events or occasions, such as a promotion, new job, wedding, retirement, holiday, or birth.

If a Volunteer is offered or receives a gift, services, hospitality, or other items of value valued above \$200, the Volunteer shall disclose that fact to the CEO and Supervisory Committee. The CEO or his designee shall maintain a written record of reported gifts

5. Borrowing/Lending\*\*

Volunteers are prohibited from borrowing/lending personal money from/to employees, associates and members of the HawaiiUSA FCU. This provision does not apply to family relationships.\*

The provisions of this policy related to gifts and other benefits do not prohibit Volunteers accepting loans from banks or financial institutions on customary terms to finance proper and usual activities of the Volunteer.

6. Solicitations

Volunteers are prohibited from solicitation activities on the credit union premises unless such has been approved by the Board of Directors. Solicitations of signatures or votes for office at the credit union are governed by any campaign rules enacted by the Board of Directors.

7. Bequests and Legacies\*\*

Volunteers are prohibited from accepting bequests and legacies under a Will or Trust instrument from members. This provision does not apply when such bequests and legacies originate from family relationships.\*

8. Beneficiary (Trust) Appointments\*\*

Volunteers are prohibited from accepting appointment as a personal representative, executor, administrator, guardian, trustee of a member, or any similar fiduciary capacity.

This provision does not apply to appointments resulting from family relationships when the appointment is only to assist in family matters and provided that the duties required will not interfere with the performance of their duties to HawaiiUSA FCU.

9. Corporate Opportunities

Volunteers will not compete with the credit union. If a volunteer is presented with a business opportunity which is within the credit union's business model, the volunteer will present the opportunity to the credit union and request action regarding the request, which the Board of Directors will review and elect to pursue or not to pursue at their next regular Board meeting after being presented with complete information regarding the opportunity. If the Board of Directors elects not to pursue, or formally abandons pursuit of, the opportunity, the presenting volunteer may pursue such opportunity. Examples of corporate opportunities include: purchase or lease of potential branch locations; sale of credit union methods, forms, or policies to other financial institutions; lending opportunities; investment in Credit Union Service Organizations, as defined under NCUA rules.

D. Volunteer Application Form\*\*\*

1. The Volunteer Application Form must be filed by all volunteers before serving on a committee and annually thereafter. A new Disclosure Form must be filed at any time changes occur to alter the conditions under which the previous form was filed.

E. Dishonest or fraudulent acts past, present & future are prohibited

F. Violation/Penalty

All alleged violations of this Code of Conduct may be reported to any member of the Board of Directors, the President and CEO or the head of the human resources department who shall refer the matter to the Supervisory Committee for investigation and determination.

Any person aggrieved by the action of the Supervisory Committee may appeal to the Code of Conduct Review Committee. This committee shall be made up of the members of the Supervisory Committee, four members of the Board of Directors and the President and CEO.

All violations shall be disposed of in the following manner:

1. Any violation of the Code of Conduct by a volunteer shall be referred to the Supervisory Committee for disposition.

\* For purposes of this policy, "family" or "family relationship" includes any family relationship regardless of the place of residence or means of support.

\*\* Volunteers may also submit written justification and seek specific case-by-case exception approval from the Board of Directors when special circumstances require exemption from this prohibited conduct.

\*\*\* The Volunteer Application Form shall be filed with and maintained by the Board Executive Secretary

# DISCLOSURE FORM

Please type or print

Name	Date										
Address											
HawaiiUSA FCU Member Number (Last 3 digits)											
Director <input type="checkbox"/>	Committee Member <input type="checkbox"/>										
<b>Complete #1 and #2 as applicable</b>											
<p>1. I hereby certify that I am not an employee, consultant, committee member, officer, or director of any other financial institution nor have a financial interest (stocks or otherwise) in such institutions which would interfere with my duties with this credit union.</p> <p>Signature _____ Date _____</p>											
<p>2. List active licenses (real estate, insurance, securities trading, etc.)</p> <table border="1"> <thead> <tr> <th>Type of License</th> <th>Company Name</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>		Type of License	Company Name								
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# OATH OF DECLARATION

Effective Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

I, \_\_\_\_\_(print full name), have read and understand the aforementioned **Volunteer Code of Conduct** set forth by the HawaiiUSA Federal Credit Union. I accept the consequences which may arise if this Oath of Declaration is violated. I also acknowledge my responsibility as an employee, director, or committee member, to engage in safe and sound financial practices under the guidelines of the National Credit Union Administration's Rules and Regulations and the Federal Credit Union Act.

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Signature

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Date