



DISCLOSURE MATERIALS

Certified B Corporations must complete a Disclosure Questionnaire to identify potentially sensitive issues related to the company (e.g. historical fines, sanctions, material litigation, or sensitive industry practices).

This component does not affect the company's score on the B Impact Assessment. If the company answers affirmatively to any items in the Disclosure Questionnaire and B Lab deems them to be material, the company must:

- 1) Be transparent about the disclosure issues identified on the company's public B Impact Report
- 2) Describe how the company has addressed this issue.
- 3) Demonstrate that management systems are in place to avoid similar issues from arising in the future.

In all cases, the Standards Advisory council reserves the right to refuse certification if the company is ultimately deemed not to uphold the spirit of the community.

In addition to the voluntary indication of sensitive issues in the Disclosure Questionnaire, companies pursuing Certification also are subject to background checks by B Lab staff. Background checks include a review of public records, news sources, and search engines for company names, brands, executives/founders, and other relevant topics.

Sensitive issues identified through background checks may or may not be within the scope of questions in the Disclosure Questionnaire, but undergo the same review process and are subject to the same possible review by the Standards Advisory Council, including ineligibility for B Corp Certification, required remediation, or disclosure.

This document contains a copy of the company's completed Disclosure Questionnaire and related disclosure documentation provided by the company.

DISCLOSURE QUESTIONNAIRE

Company Name: Green Retirement Plans
 Date Submitted: 10/26/2017

Industries & Products	Yes	No
Please indicate if the company is involved in production of or trade in any the following (check all that apply.)		
Any product or activity deemed illegal under host country laws or regulations		✓
Alcohol (excluding beer and wine)		✓
Commercial logging and logging equipment		✓
Firearms, weapons or munitions		✓
Genetically modified organisms		✓
Mining		✓
Nuclear Power		✓
Fossil fuel-based oil or coal utility		✓
Pornography		✓
Tobacco		✓
Wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)		✓
Penalties, Fines & Sanctions	Yes	No
Please indicate if the company has had any formal complaint to a regulatory agency or been assessed any fine or sanction in the past five years for any of the following practices or policies (check all that apply.)		
Animal welfare		✓
Diversity and equal opportunity		✓
Employee safety or workplace conditions		✓
Environmental issues		✓
Financial reporting	✓	
Geographic operations or international affairs		✓
Investments or Loans		✓
Labor issues (internal and supply chain)		✓
Marketing		✓
Political contributions		✓
Product safety		✓
Taxes		✓

Practices	True	False
Please indicate if the following statements are true regarding whether or not the company engages in the following practices (check all that apply.) If the statement is true, select "True." If false, select "False."		
Company is formally registered in accordance with domestic regulations	✓	
Company has not reduced or minimized taxes through the use of corporate shells or structural means	✓	
Company facilities are not located adjacent to or in sensitive ecosystems	✓	
No animal testing conducted	✓	
Company or company supplier does not employ workers under the age of 15 (or other minimum work age covered by the International Labour Organization Convention No. 138)	✓	
Overtime work for hourly workers is voluntary (not compulsory)	✓	
Company or company suppliers do not use any workers who are prisoners	✓	
Company allows workers to freely associate and to bargain collectively for the terms of one's employment	✓	
Outcomes	True	False
Please indicate if the following statements are true regarding if the company has experienced any of the following in the past 5 years (check all that apply.) If the statement is true, select "True." If false, select "False."		
Company and Significant Suppliers has not had an operational or on-the-job fatality	✓	
Company and Significant Suppliers' sites have not experienced any accidental discharges to air, land or water of hazardous substances	✓	
No construction nor operation of company facilities and Significant Suppliers' facilities have resulted in the relocation of any individuals or households near your facility	✓	
No material litigation against company	✓	
No material recalls due to quality control issues	✓	



B Corp Certification - Disclosure Questionnaire Documentation

PROVIDED BY:	Green Retirement Plans
UPDATED AS OF:	10/26/2017
DISCLOSURE QUESTIONNAIRE CATEGORY	Penalties
ISSUE DATE	5/26/15
TOPIC	Financial Reporting
SUMMARY OF ISSUE	The President and CEO of Green Retirement each received a fine from FINRA (Financial Industry Regulatory Authority) for paperwork errors for personal investments made while working with a FINRA member. The FINRA member's Compliance Department did not alert the Yees of the need for prior written authorization. Due to this oversight, the Yees purchased securities in two privately held companies without providing prior written notice and obtaining approval from the FINRA member with whom Green Retirement was associated at the time. Timothy Yee was not made aware of the need for prior approval when he filled out the firm questionnaire nor when he emailed three clients about the companies' capital raise.
SIZE/SCOPE OF ISSUE (e.g. \$ financial implication, # of individuals affected)	Securities were purchased in two B Corp certified companies for a total of \$62,500. Purchase of securities were from the Yees' personal funds. No clients or client money were involved in these transactions.
IMPACT ON STAKEHOLDER(S)	N/A
RESOLUTION	<i>Fines addressed and issue resolved</i>
IMPLEMENTED MGT PRACTICES	Investments made after this date have been made with the proper paperwork and approval.
REPORT	FINRA AWC #2015045798701 (Timothy Richard Yee): http://www.finra.org/sites/default/files/fda_documents/2015045798701_FDA_RB7X2424.pdf FINRA AWC #2015045798702 (Rose Penelope L. Yee): http://www.finra.org/sites/default/files/fda_documents/2015045798701_FDA_RB7X2424.pdf
OTHER MANAGEMENT COMMENTS	
RELATED INCIDENTS (YES/NO)	No