



# Massachusetts Cannabis Control Commission

## Marijuana Product Manufacturer

### General Information:

License Number: MP282159  
Original Issued Date: 10/11/2022  
Issued Date: 10/11/2022  
Expiration Date: 10/11/2023

## ABOUT THE MARIJUANA ESTABLISHMENT

Business Legal Name: Ahava, LLC

Phone Number: 510-978-0803  
Email Address: ahava1910@gmail.com

Business Address 1: 333 N. Canal Street  
Business City: Holyoke  
Business State: MA  
Business Zip Code: 01040

Business Address 2:  
Mailing Address 1: 1500 Main Street  
Mailing City: Springfield  
Mailing State: MA  
Mailing Zip Code: 01115

## CERTIFIED DISADVANTAGED BUSINESS ENTERPRISES (DBES)

Certified Disadvantaged Business Enterprises (DBEs): Minority-Owned Business

## PRIORITY APPLICANT

Priority Applicant: no  
Priority Applicant Type: Not a Priority Applicant  
Economic Empowerment Applicant Certification Number:  
RMD Priority Certification Number:

## RMD INFORMATION

Name of RMD:  
Department of Public Health RMD Registration Number:  
Operational and Registration Status:  
To your knowledge, is the existing RMD certificate of registration in good standing?:  
If no, describe the circumstances below:

## PERSONS WITH DIRECT OR INDIRECT AUTHORITY

Person with Direct or Indirect Authority 1

Percentage Of Ownership: 100  
Role: Executive / Officer  
First Name: David  
Percentage Of Control: 100  
Other Role:  
Last Name: Choy  
Suffix:

Gender: Male

User Defined Gender:

What is this person's race or ethnicity?: Asian (Chinese, Filipino, Asian Indian, Vietnamese, Korean, Japanese)

Specify Race or Ethnicity: Chinese

Person with Direct or Indirect Authority 2

Percentage Of Ownership:

Percentage Of Control:

Role: Executive / Officer

Other Role:

First Name: Karen

Last Name: Talton

Suffix:

Gender: Female

User Defined Gender:

What is this person's race or ethnicity?: White (German, Irish, English, Italian, Polish, French)

Specify Race or Ethnicity: Jewish

ENTITIES WITH DIRECT OR INDIRECT AUTHORITY

No records found

CLOSE ASSOCIATES AND MEMBERS

No records found

CAPITAL RESOURCES - INDIVIDUALS

Individual Contributing Capital 1

First Name: David

Last Name: Choy

Suffix:

Types of Capital: Monetary/  
Equity

Other Type of  
Capital:

Total Value of the Capital Provided:

Percentage of Initial Capital:

Equity

Capital:

\$33262.04

100

Capital Attestation: Yes

CAPITAL RESOURCES - ENTITIES

No records found

BUSINESS INTERESTS IN OTHER STATES OR COUNTRIES

No records found

DISCLOSURE OF INDIVIDUAL INTERESTS

No records found

MARIJUANA ESTABLISHMENT PROPERTY DETAILS

Establishment Address 1: 333 N. Canal Street

Establishment Address 2:

Establishment City: Holyoke

Establishment Zip Code: 01040

Approximate square footage of the Establishment: 85000

How many abutters does this property have?: 8

Have all property abutters have been notified of the intent to open a Marijuana Establishment at this address?: Yes

HOST COMMUNITY INFORMATION

Host Community Documentation:

Document Category	Document Name	Type	ID	Upload Date
Certification of Host Community Agreement	App 12 Certification of Host Community Agreement.pdf	pdf	623c973dc91bef000948bb91	03/24/2022
Community Outreach Meeting Documentation	App 12 Community Outreach Meeting documentation.pdf	pdf	623c9749c91bef000948bc6b	03/24/2022

Plan to Remain Compliant with Local Zoning	App 12 Plan to Remain Compliant with Local Zoning.pdf	pdf	623c9755c91bef000948bc7f	03/24/2022
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Total amount of financial benefits accruing to the municipality as a result of the host community agreement. If the total amount is zero, please enter zero and provide documentation explaining this number.: \$

### PLAN FOR POSITIVE IMPACT

Plan to Positively Impact Areas of Disproportionate Impact:

Document Category	Document Name	Type	ID	Upload Date
Other	App 13 Plan for Positive Impact - Acceptance letter.PDF	pdf	623c977d53957f000867844f	03/24/2022
Plan for Positive Impact	Plan for Positive Impact - REVISED 6.13.2022.pdf	pdf	62a78128eb816b00087b9e4a	06/13/2022

### ADDITIONAL INFORMATION NOTIFICATION

Notification:

### INDIVIDUAL BACKGROUND INFORMATION

Individual Background Information 1

Role: Executive / Officer	Other Role: Owner
First Name: David	Last Name: Choy Suffix:
RMD Association: Not associated with an RMD	
Background Question: no	

Individual Background Information 2

Role: Executive / Officer	Other Role:
First Name: Karen	Last Name: Talton Suffix:
RMD Association: Not associated with an RMD	
Background Question: yes	

### ENTITY BACKGROUND CHECK INFORMATION

No records found

### MASSACHUSETTS BUSINESS REGISTRATION

Required Business Documentation:

Document Category	Document Name	Type	ID	Upload Date
Secretary of Commonwealth - Certificate of Good Standing	App 16 Certificate of Good Standing Secrety of State MA.pdf	pdf	623c994ec91bef000948c597	03/24/2022
Department of Revenue - Certificate of Good standing	App 16 Certificate of Good Standing - MA Dept. of Revenue.pdf	pdf	623c995bc91bef000948c5e1	03/24/2022
Articles of Organization	App 16 Certificate of Organization.pdf	pdf	623c996953957f0008678ce8	03/24/2022
Bylaws	App 16 Operating Agreement.pdf	pdf	623c997b53957f0008678d27	03/24/2022
Department of Revenue - Certificate of Good standing	David Y Choy - Attestation - no employees.pdf	pdf	628e55aaeb816b0008675a81	05/25/2022

No documents uploaded

Massachusetts Business Identification Number: 001510301

Doing-Business-As Name:

DBA Registration City:

### BUSINESS PLAN

Business Plan Documentation:

Document Category	Document Name	Type	ID	Upload Date
Proposed Timeline	App 17 Proposed Timeline.pdf	pdf	623c9997c91bef000948c6ec	03/24/2022
Plan for Liability Insurance	App 17 Plan for Obtaining Liability Insurance.pdf	pdf	623c99a6c91bef000948c77d	03/24/2022
Business Plan	App 17 Business Plan.pdf	pdf	62461400c91bef000951eea8	03/31/2022

### OPERATING POLICIES AND PROCEDURES

Policies and Procedures Documentation:

Document Category	Document Name	Type	ID	Upload Date
Sample of unique identifying marks used for branding	App 18 Unique Identifying Mark.pdf	pdf	623c9a6c53957f0008679023	03/24/2022
Separating recreational from medical operations, if applicable	App 18 Plan for Separating Recreational from Medical Op.pdf	pdf	623c9aad53957f0008679093	03/24/2022
Restricting Access to age 21 and older	App 18 Plan for Restricting Access to Age 21 and Older.pdf	pdf	623c9ac453957f00086790bb	03/24/2022
Security plan	App 18 Security Plan.pdf	pdf	623c9ade53957f00086790da	03/24/2022
Prevention of diversion	App 18 Prevention of Diversion Plan.pdf	pdf	623c9afac91bef000948ca66	03/24/2022
Storage of marijuana	App 18 Storage of Marijuana.pdf	pdf	623c9b0bc91bef000948cb38	03/24/2022
Transportation of marijuana	App 18 Transportation of Marijuana.pdf	pdf	623c9b1a53957f0008679272	03/24/2022
Inventory procedures	App 18 Inventory Plan.pdf	pdf	623c9b2853957f00086792d7	03/24/2022
Dispensing procedures	App 18 Dispensing Procedures.pdf	pdf	623c9b5753957f00086793ab	03/24/2022
Personnel policies including background checks	App 18 Personnel Policies including Background Checks.pdf	pdf	623c9b64c91bef000948cdea	03/24/2022
Record Keeping procedures	App 18 Record Keeping procedures.pdf	pdf	623c9b8053957f000867951f	03/24/2022
Maintaining of financial records	App 18 Maintaining of Financial Records.pdf	pdf	623c9ba953957f0008679584	03/24/2022
Diversity plan	App 18 Diversity Plan.pdf	pdf	623c9bbb53957f00086795b2	03/24/2022
Qualifications and training	App 18 Qualifications and Training Plan.pdf	pdf	623c9bcec91bef000948d0c9	03/24/2022
Energy Compliance Plan	App 18 Energy Compliance Plan.pdf	pdf	623c9bdf53957f0008679699	03/24/2022
Method used to produce products	App 18 Methods Used to Produce Products.pdf	pdf	62461444c91bef000951eef3	03/31/2022
Types of products Manufactured.	App 18 Types of Products.pdf	pdf	6246145cc91bef000951ef07	03/31/2022
Quality control and testing	App 18 Quality Control and Testing.pdf	pdf	6246147f53957f000870aa81	03/31/2022
Safety Plan for Manufacturing	App 18 Safety for Plan for	pdf	6246149253957f000870aaa5	03/31/2022

**ATTESTATIONS**

I certify that no additional entities or individuals meeting the requirement set forth in 935 CMR 500.101(1)(b)(1) or 935 CMR 500.101(2)(c)(1) have been omitted by the applicant from any marijuana establishment application(s) for licensure submitted to the Cannabis Control Commission.: I Agree

I understand that the regulations stated above require an applicant for licensure to list all executives, managers, persons or entities having direct or indirect authority over the management, policies, security operations or cultivation operations of the Marijuana Establishment; close associates and members of the applicant, if any; and a list of all persons or entities contributing 10% or more of the initial capital to operate the Marijuana Establishment including capital that is in the form of land or buildings.: I Agree

I certify that any entities who are required to be listed by the regulations above do not include any omitted individuals, who by themselves, would be required to be listed individually in any marijuana establishment application(s) for licensure submitted to the Cannabis Control Commission.: I Agree

**Notification:**

I certify that any changes in ownership or control, location, or name will be made pursuant to a separate process, as required under 935 CMR 500.104(1), and none of those changes have occurred in this application.:

I certify that to the best knowledge of any of the individuals listed within this application, there are no background events that have arisen since the issuance of the establishment's final license that would raise suitability issues in accordance with 935 CMR 500.801.:

I certify that all information contained within this renewal application is complete and true.:

**ADDITIONAL INFORMATION NOTIFICATION****Notification:****COMPLIANCE WITH POSITIVE IMPACT PLAN**

No records found

**COMPLIANCE WITH DIVERSITY PLAN**

No records found

**PRODUCT MANUFACTURER SPECIFIC REQUIREMENTS**

No records found

**HOURS OF OPERATION**

Monday From: 8:00 AM	Monday To: 8:00 PM
Tuesday From: 8:00 AM	Tuesday To: 8:00 PM
Wednesday From: 8:00 AM	Wednesday To: 8:00 PM
Thursday From: 8:00 AM	Thursday To: 8:00 PM
Friday From: 8:00 AM	Friday To: 8:00 PM
Saturday From: 8:00 AM	Saturday To: 8:00 PM
Sunday From: 8:00 AM	Sunday To: 8:00 PM

# Host Community Agreement Certification Form

## Instructions

Certification of a host community agreement is a requirement of the application to become a Marijuana Establishment (ME) and Medical Marijuana Treatment Center (MTC). Applicants must complete items 1-3. The contracting authority for the municipality must complete items 4-8. Failure to complete a section will result in the application not being deemed complete. This form should be completed and uploaded into your application. Please note that submission of information that is “misleading, incorrect, false, or fraudulent” is grounds for denial of an application for a license pursuant to 935 CMR 500.400(2) and 501.400(2).

## Certification

The parties listed below do certify that the applicant and municipality have executed a host community agreement on the specified date below pursuant to G.L. c. 94G § 3(d):

1. Name of applicant:

Ahava, LLC

2. Name of applicant's authorized representative:

Karen Talton

3. Signature of applicant's authorized representative:

*Karen Talton*

4. Name of municipality:

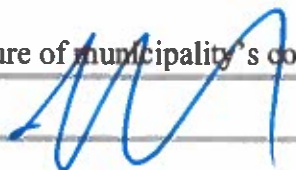
City of Holyoke

5. Name of municipality's contracting authority or authorized representative:

Joshua A. Garcia

*[Signature]* 1/26/2022

6. Signature of municipality's contracting authority or authorized representative:



7. Email address of contracting authority or authorized representative of the municipality (*this email address may be used to send municipal notices pursuant to 935 CMR 500.102(1) and 501.102(1).*):

*garciaj@holyoke.org*

8. Host community agreement execution date:

*1/26/2022*



# Community Outreach Meeting Attestation Form

## Instructions

Community Outreach Meeting(s) are a requirement of the application to become a Marijuana Establishment (ME) and Medical Marijuana Treatment Center (MTC). 935 CMR 500.101(1), 500.101(2), 501.101(1), and 501.101(2). The applicant must complete each section of this form and attach all required documents as a single PDF document before uploading it into the application. If your application is for a license that will be located at more than one (1) location, and in different municipalities, applicants must complete two (2) attestation forms – one for each municipality. Failure to complete a section will result in the application not being deemed complete. Please note that submission of information that is “misleading, incorrect, false, or fraudulent” is grounds for denial of an application for a license pursuant to 935 CMR 500.400(2) and 501.400(2).

## Attestation

I, the below indicated authorized representative of that the applicant, attest that the applicant has complied with the Community Outreach Meeting requirements of 935 CMR 500.101 and/or 935 CMR 501.101 as outlined below:

1. The Community Outreach Meeting was held on the following date(s):
2. At least one (1) meeting was held within the municipality where the ME is proposed to be located.
3. At least one (1) meeting was held after normal business hours (this requirement can be satisfied along with requirement #2 if the meeting was held within the municipality and after normal business hours).





4. A copy of the community outreach notice containing the time, place, and subject matter of the meeting, including the proposed address of the ME or MTC was published in a newspaper of general circulation in the municipality at least 14 calendar days prior to the meeting. A copy of this publication notice is labeled and attached as "Attachment A."

a. Date of publication:

b. Name of publication:

5. A copy of the community outreach notice containing the time, place, and subject matter of the meeting, including the proposed address of the ME or MTC was filed with clerk of the municipality. A copy of this filed notice is labeled and attached as "Attachment B."

a. Date notice filed:

6. A copy of the community outreach notice containing the time, place, and subject matter of the meeting, including the proposed address of the ME or MTC was mailed at least seven (7) calendar days prior to the community outreach meeting to abutters of the proposed address, and residents within 300 feet of the property line of the applicant's proposed location as they appear on the most recent applicable tax list, notwithstanding that the land of the abutter or resident is located in another municipality. A copy of this mailed notice is labeled and attached as "Attachment C." Please redact the name of any abutter or resident in this notice.

a. Date notice(s) mailed:

7. The applicant presented information at the Community Outreach Meeting, which at a minimum included the following:
- a. The type(s) of ME or MTC to be located at the proposed address;
  - b. Information adequate to demonstrate that the location will be maintained securely;
  - c. Steps to be taken by the ME or MTC to prevent diversion to minors;
  - d. A plan by the ME or MTC to positively impact the community; and
  - e. Information adequate to demonstrate that the location will not constitute a nuisance as defined by law.
8. Community members were permitted to ask questions and receive answers from representatives of the ME or MTC.



Name of applicant:

Ahava, LLC

Name of applicant's authorized representative:

Karen Talton, COO

Signature of applicant's authorized representative:

*Karen Talton*





Legal Notice:

Notice is hereby given that a Community Outreach Meeting for a proposed Marijuana Establishment by Ahava, LLC is scheduled for Monday, March 7, 2022, at 6:00 PM via zoom: <https://us02web.zoom.us/j/7692434721?pwd=REJadzBlc3BZVEJ3WTFscEtMNINmdz09> or call in 301-715-8592, Meeting ID: 769 243 4721, passcode: 0L1uf5. The proposed Cultivation and Manufacturing facility is anticipated to be located at 333 N. Canal St., Holyoke MA. There will be an opportunity for the public to ask questions.

RECEIVED

FEB 28 2022

Holyoke City Clerk's  
Holyoke, MA

**Ahava LLC**

333 N. Canal Street  
Holyoke MA, 01040

413-315-3533  
Ahava1910@gmail.com

February 19, 2022

Dear Abutter,

Notice is hereby given that a Community Outreach Meeting for a proposed Adult-Use Marijuana Cultivation and Manufacturing Establishment for Ahava, LLC is scheduled for Monday, March 7, 2022, from 6:00 pm to 7:00 pm through a zoom meeting\*. The proposed Marijuana Cultivation and Manufacturing Facility is anticipated to be located at 333 North Canal St, Holyoke MA. 01040.

There will be an opportunity for the public to ask questions. The meeting will cover, at minimum, the following topics:

- Compliance with security requirements
- Prevention of Diversion to minors
- Plans to Positively Impact Community
- Plan to ensure the location will not constitute a nuisance to the community.

\*Zoom instructions are as follows:

Please join my meeting from your computer, tablet or smartphone:

<https://us02web.zoom.us/j/7692434721?pwd=REJadzBlc3BZVEJ3WTFscEtMNINmdz09>

You may also join by phone by using (US) + 1-301-715-8592, then enter the Meeting ID: 769 243 4721, and the passcode: 0L1uf5. Closed Captioning is available.

Thank You,

Karen Talton  
Chief Operating Officer  
Ahava, LLC

[REDACTED]  
95 Suffolk St  
Holyoke, Ma 01040

[REDACTED]  
536 Dwight St  
Holyoke, Ma 01040

[REDACTED]  
54 Winters ST  
Holyoke, Ma 01040

[REDACTED]  
18 Canal ST  
Holyoke, Ma 01040

[REDACTED]  
30 School ST  
Granby, Ma 01033

[REDACTED]  
55 Kestral Lane  
Amherst, Ma 01002

[REDACTED]  
43 Clubhouse RD  
Tolland, Ma 01034-9551

[REDACTED]  
10 Park Plaza  
Boston, Ma 02116

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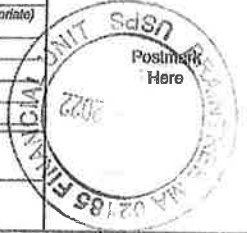
Return Receipt (hardcopy) \$ \_\_\_\_\_  
 Return Receipt (electronic) \$ \_\_\_\_\_  
 Certified Mail Restricted Delivery \$ \_\_\_\_\_  
 Adult Signature Required \$ \_\_\_\_\_  
 Adult Signature Restricted Delivery \$ \_\_\_\_\_

Postage

Total Postage and Fees

Sent To: ~~XXXXXXXXXX~~  
 Street and Apt. No., or PO Box No.  
 99 Suffolk Street  
 City, State, ZIP+4®  
 Holyoke MA 01040

PS Form 3800, April 2015 PSN 7530-02-000-9047 See Reverse for Instructions



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 Adult Signature Required \$ \_\_\_\_\_  
 Adult Signature Restricted Delivery \$ \_\_\_\_\_

Postage

Total Postage and Fees

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 Street and Apt. No., or PO Box No.  
 18 Canal Street  
 City, State, ZIP+4®  
 Holyoke MA 01040

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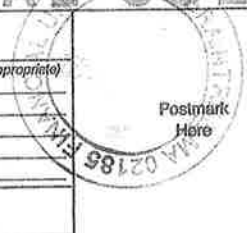
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 Return Receipt (electronic) \$ \_\_\_\_\_  
 Certified Mail Restricted Delivery \$ \_\_\_\_\_  
 Adult Signature Required \$ \_\_\_\_\_  
 Adult Signature Restricted Delivery \$ \_\_\_\_\_

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 Street and Apt. No., or PO Box No.  
 336 Dwight Street  
 City, State, ZIP+4®  
 Holyoke MA 01040

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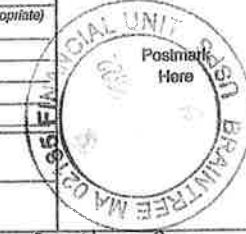
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 Adult Signature Restricted Delivery \$ \_\_\_\_\_

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 Street and Apt. No., or PO Box No.  
 55 Kestral Lane  
 City, State, ZIP+4®  
 Amherst MA 01002

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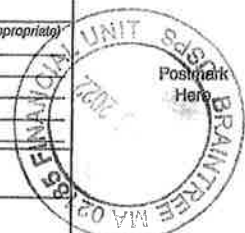
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 Return Receipt (electronic) \$ \_\_\_\_\_  
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 Adult Signature Required \$ \_\_\_\_\_  
 Adult Signature Restricted Delivery \$ \_\_\_\_\_

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 Street and Apt. No., or PO Box No.  
 54 Winter Street  
 City, State, ZIP+4®  
 Holyoke MA 01040

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 Street and Apt. No., or PO Box No.  
 43 Tubhouse Road  
 City, State, ZIP+4®  
 Tolland MA 01034-9951

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  - Return Receipt (electronic) \$ \_\_\_\_\_
  - Certified Mail Restricted Delivery \$ \_\_\_\_\_
  - Adult Signature Required \$ \_\_\_\_\_
  - Adult Signature Restricted Delivery \$ \_\_\_\_\_

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City, State, ZIP+4®



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  - Return Receipt (electronic) \$ \_\_\_\_\_
  - Certified Mail Restricted Delivery \$ \_\_\_\_\_
  - Adult Signature Required \$ \_\_\_\_\_
  - Adult Signature Restricted Delivery \$ \_\_\_\_\_

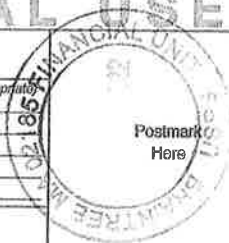
Postage

Total Postage and Fees

Sent To

Street and Apt. No., or PO Box No.

City, State, ZIP+4®



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~~XXXXXXXXXXXXXXXXXXXX~~  
30 School Street  
Granby MA 01033

~~XXXXXXXXXXXXXXXXXXXX~~  
10 Park Plaza  
Boston MA 02116



## **Ahava, LLC – Plan to Remain Compliant with Local Zoning**

### **Purpose**

This plan details how Ahava, LLC will be and remain in compliance with local codes, ordinances and bylaws for the cultivation and manufacture of adult use marijuana at its Marijuana Establishment located at 333 N. Canal Street, Holyoke, MA.

### **Background**

The City of Holyoke has enacted a Marijuana Facilities Ordinance that establishes zoning restrictions for Adult-Use marijuana establishments. The City of Holyoke Zoning Ordinance, Article VII Section 7.10 regulates the time, place and manner of Marijuana Establishments within the City. Article XII Table of Uses allows Cultivation Marijuana Establishments in the HRC (High-Rise Commercial) District upon the issuance of a Special Permit from the City of Holyoke Planning Board.

There is no buffer zone requirement for Marijuana Cultivation Establishments: 333 N. Canal Street is located in the IG District and although there are no buffer zones from protected uses, this parcel is well outside of the 500' buffer zone from schools pursuant to 935 CMR 725.100(3)

### **Plan**

Ahava, LLC is currently fully compliant with all of the requirements outlined in the Ordinance. It is the intention of Ahava, LLC to remain compliant with all relevant local codes and ordinances applicable to a Marijuana Cultivation Establishments and Marijuana Product Manufacturing Establishment. As required by Zoning Bylaws Section 4.18.7, Ahava, LLC has or will apply for building permits and obtain a Certificate of Occupancy from the City of Holyoke prior to opening.

To ensure continued compliance, Ahava, LLC's executive management team will continually engage with the City of Holyoke to remain up to date with local codes zoning ordinances and by-laws. Our executive team has established positive working relationship with the City. We have consulted with the City on details of our plan for initiation of the cultivation and product manufacturing facility.

We intend to continue a dialogue to ensure that no adverse regulatory issues arise with the City. To that end, the Host Community Agreement executed between Ahava, LLC and the City of Holyoke provides for an annual meeting and review of operating status for the cultivation and product manufacturing facility.

Should any unexpected issue arise, we will be in a position to address that issue with the City of Holyoke in a timely manner, and to correct any unintended issue that may arise regarding codes, ordinances and bylaws of the City in a cooperative manner.

With the above in mind, it is the policy and intention of Ahava, LLC, to operate as a responsible neighbor and member of the local community. We will take necessary and reasonable actions in all operational decisions to maintain a harmonious relationship with our neighbors and other members of the local community. We have communicated our plans to abutters in the required Community Outreach Meeting and found the reaction and response of those in attendance to be overwhelming positive and supportive of our initiative.

## Ahava, LLC –Plan to Positively Impact Disproportionately Harmed People

### Introduction

Ahava, LLC (“Ahava”) is dedicated to positively impacting people and communities disproportionately harmed by cannabis prohibition. Ahava is located in the City of Holyoke. Holyoke has been designated by the Cannabis Control Commission as an area of disproportionate impact. Several other areas of disproportionate impact abut or are in close proximity to Holyoke, including Amherst, Monson, Springfield and West Springfield.

To this end, Ahava, has developed this Plan to Positively Impact Disproportionately Harmed People (this “Plan”) to invest in and encourage full participation by people and communities disproportionately harmed by cannabis prohibition. This Plan i) identifies the populations of disproportionately harmed people which it is intended to impact, ii) Ahava’s goals, iii) the programs and methods Ahava will utilize to meet its goals, and iv) the metrics Ahava will employ to assess Ahava’s progress and success in meeting such goals.

### Populations the Plan is intended to Impact:

- Past or present residents of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke;
- Individuals designated by the Cannabis Control Commission (“CCC”) as Certified Economic Empowerment Priority recipients;
- Individuals designated by the CCC as Social Equity Program participants;
- Massachusetts resident who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

### Goals

Ahava has established the following goal: To reduce barriers to entry in the commercial adult-use cannabis industry for disproportionately harmed people. To meet this goal Ahava will establish an Employment Program and a Vendor, Contractor and Supplier Program.

With respect to its Employment Program, Ahava will use its best efforts to ensure that at least 30% of the work force comprised of individuals meeting one or more of the following criteria:

- Past or present residents of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke
- Designated by the CCC as Social Equity Program participants;
- Massachusetts residents who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

With respect to its Vendor, Contractor and Supplier Program, Ahava will use its best efforts to ensure at least 25% of vendors, contractors and suppliers meet one or more of the following criteria (either the owners or a majority of such vendor’s, contractor’s or supplier’s employees):

- Past or present residents of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke
- Designated by the CCC as Certified Economic Empowerment Priority recipients;
- Designated by the CCC as Social Equity Program participants;
- Massachusetts residents who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

To provide assistance to non-profits and charities whose mission(s) benefit disproportionately harmed people. To meet this goal Ahava will establish a Volunteer Program through which i) Ahava will make a yearly donation of no less than \$5,000 to OneHolyoke, and ii) at least 25% of Ahava’s employees will donate at least 6 hours per year to OneHolyoke, a not-for-profit organization in the City of Holyoke dedicated to improving housing for low- and moderate-income Holyoke residents. OneHolyoke has accepted Ahava’s offer of donation of volunteer time and money.

### Programs

In order to effectuate Ahava’s goals, Ahava will implement the following programs:

Employment Program – Ahava will actively target the City of Holyoke and areas of disproportionate impact in proximity to or abutting the City of Holyoke for recruitment and give employment preference to residents of such areas.

- Place job postings in local newspapers and social media sites.
- Identify Ahava’s hiring preferences (listed above under “goals”) in job postings.

Vendor, Contractor and Supplier Program – Ahava will target and give preference to vendors, contractors and suppliers meeting the criteria set forth in “goals”.

- Bid and Request for Proposal solicitations will include Ahava’s preferences.
- Vendors, contractors and suppliers will be requested to provide supporting documentation and certify if they meet or exceed Ahava’s preferred criteria.

Donation and Volunteer Program – Ahava’s executive team will partner with OneHolyoke by providing a yearly cash donation of no less than \$5,000 and volunteers for various programs and activities run by OneHolyoke. OneHolyoke has accepted Ahava’s offer of donation of volunteer time and money

### Measuring and Reporting Positive Impact on the Community

Ahava’s Chief Operating Officer and Director of Human Resources (when hired) will meet quarterly to review Ahava’s Positive Impact Plan, goals and progress towards meeting those goals. The progress or success of Ahava’s Positive Impact Plan shall be documented upon renewal (one year from provisional licensure, and each year thereafter).

Ahava will use the following to measure its progress and success in meeting its positive impact goals:

Employment Program – Ahava will track the number of employees hired, retained or promoted who are:

- Past or present resident of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke;
- Designated by the Cannabis Control Commission (“CCC”) as Social Equity Program participants;
- Massachusetts residents who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

Vendor, Contractor and Supplier Program. Ahava will track the number of vendors, contractors and suppliers engaged whose owners or a majority of employees are:

- Past or present resident of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke;
- Designated by the CCC as Certified Economic Empowerment Priority recipients;
- Designated by the CCC as Social Equity Program participants;
- Massachusetts residents who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

Volunteer Program. Ahava will track all volunteer hours and donations.

### **Affirmation**

1. The applicant acknowledges and is aware, and will adhere to, the requirements set forth in 935 CMR 500.105(4), which provides the permitted and prohibited advertising, branding, marketing, and sponsorship practices of every Marijuana Establishment; and
2. Any actions taken, or programs instituted, will not violate the Commission’s regulations with respect to limitation on ownership or control other applicable state laws.



*The Commonwealth of Massachusetts*  
*Secretary of the Commonwealth*  
*State House, Boston, Massachusetts 02133*

William Francis Galvin  
Secretary of the  
Commonwealth

March 17, 2022

TO WHOM IT MAY CONCERN:

I hereby certify that a certificate of organization of a Limited Liability Company was filed in this office by

**AHAVA, LLC**

in accordance with the provisions of Massachusetts General Laws Chapter 156C on **JUNE 18, 2021**.

I further certify that said Limited Liability Company has filed all annual reports due and paid all fees with respect to such reports; that said Limited Liability Company has not filed a certificate of cancellation or withdrawal; and that said Limited Liability Company is in good standing with this office.

I also certify that the names of all managers listed in the most recent filing are: **DAVID YING YU CHOY**

I further certify, the names of all persons authorized to execute documents filed with this office and listed in the most recent filing are: **DAVID YING YU CHOY**

The names of all persons authorized to act with respect to real property listed in the most recent filing are: **DAVID YING YU CHOY**



In testimony of which,  
I have hereunto affixed the  
Great Seal of the Commonwealth  
on the date first above written.

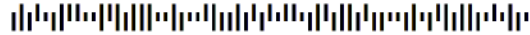
*William Francis Galvin*

Secretary of the Commonwealth



mass.gov/dor

## CERTIFICATE OF GOOD STANDING AND/OR TAX COMPLIANCE



AHAVA, LLC  
151-45 12TH ROAD  
WHITESTONE NY 11357

### *Why did I receive this notice?*

The Commissioner of Revenue certifies that, as of the date of this certificate, AHAVA, LLC is in compliance with its tax obligations under Chapter 62C of the Massachusetts General Laws.

This certificate doesn't certify that the taxpayer is compliant in taxes such as unemployment insurance administered by agencies other than the Department of Revenue, or taxes under any other provisions of law.

**This is not a waiver of lien issued under Chapter 62C, section 52 of the Massachusetts General Laws.**

### *What if I have questions?*

If you have questions, call us at (617) 887-6400 or toll-free in Massachusetts at (800) 392-6089, Monday through Friday, 9:00 a.m. to 4:00 p.m..

### *Visit us online!*

Visit [mass.gov/dor](http://mass.gov/dor) to learn more about Massachusetts tax laws and DOR policies and procedures, including your Taxpayer Bill of Rights, and MassTaxConnect for easy access to your account:

- Review or update your account
- Contact us using e-message
- Sign up for e-billing to save paper
- Make payments or set up autopay

Edward W. Coyle, Jr., Chief  
Collections Bureau



**The Commonwealth of Massachusetts**  
**William Francis Galvin**

Minimum Fee: \$500.00

Secretary of the Commonwealth, Corporations Division  
 One Ashburton Place, 17th floor  
 Boston, MA 02108-1512  
 Telephone: (617) 727-9640

**Certificate of Organization**

(General Laws, Chapter )

Identification Number: 001510301

1. The exact name of the limited liability company is: AHAVA, LLC

**2a. Location of its principal office:**

No. and Street: 151-45 12TH ROAD  
 City or Town: WHITESTONE State: NY Zip: 11357 Country: USA

**2b. Street address of the office in the Commonwealth at which the records will be maintained:**

No. and Street: 1500 MAIN STREET  
SUITE 2700  
 City or Town: SPRINGFIELD State: MA Zip: 01115 Country: USA

**3. The general character of business, and if the limited liability company is organized to render professional service, the service to be rendered:**

TO PURCHASE, SELL, OWN, MANAGE, DEVELOP, LEASE AND OTHERWISE OPERATE REAL P  
 ROPERTY, AND TO ENGAGE IN AND CARRY ON ANY LAWFUL BUSINESS, TRADE, PURPOSE  
 OR ACTIVITIES PERMITTED BY THE LAWS OF THE COMMONWEALTH OF MASSACHUSETTS.

**4. The latest date of dissolution, if specified:**

**5. Name and address of the Resident Agent:**

Name: KATHLEEN L. BERNARDO  
 No. and Street: 1500 MAIN STREET  
SUITE 2700  
 City or Town: SPRINGFIELD State: MA Zip: 01115 Country: USA

I, KATHLEEN L. BERNARDO resident agent of the above limited liability company, consent to my appointment as the resident agent of the above limited liability company pursuant to G. L. Chapter 156C Section 12.

**6. The name and business address of each manager, if any:**

Title	Individual Name First, Middle, Last, Suffix	Address (no PO Box) Address, City or Town, State, Zip Code
MANAGER	DAVID YING YU CHOY	151-45 12TH ROAD WHITESTONE, NY 11357 USA

**7. The name and business address of the person(s) in addition to the manager(s), authorized to execute documents to be filed with the Corporations Division, and at least one person shall be named if there are no managers.**

Title	Individual Name First, Middle, Last, Suffix	Address (no PO Box) Address, City or Town, State, Zip Code

**8. The name and business address of the person(s) authorized to execute, acknowledge, deliver and record any recordable instrument purporting to affect an interest in real property:**

Title	Individual Name First, Middle, Last, Suffix	Address (no PO Box) Address, City or Town, State, Zip Code
REAL PROPERTY	DAVID YING YU CHOY	151-45 12TH ROAD WHITESTONE, NY 11357 USA

**9. Additional matters:**

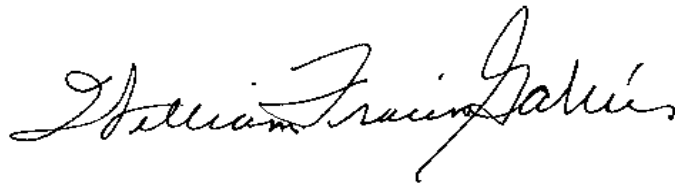
**SIGNED UNDER THE PENALTIES OF PERJURY, this 18 Day of June, 2021,**  
DAVID YING YU CHOY  
*(The certificate must be signed by the person forming the LLC.)*



THE COMMONWEALTH OF MASSACHUSETTS

I hereby certify that, upon examination of this document, duly submitted to me, it appears that the provisions of the General Laws relative to corporations have been complied with, and I hereby approve said articles; and the filing fee having been paid, said articles are deemed to have been filed with me on:

June 18, 2021 01:02 PM

A handwritten signature in black ink, reading "William Francis Galvin". The signature is written in a cursive style with a large, prominent initial "W".

WILLIAM FRANCIS GALVIN

*Secretary of the Commonwealth*

## AHAVA, LLC Operating Agreement

David Ying Yu Choy (the "Member"), as the sole member of Ahava, LLC (the "Company"), hereby declares this to be the Operating Agreement of the Company (the "Agreement").

1. The Company was formed or will be formed pursuant to the Massachusetts Limited Liability Company Act (the "Act") by the filing of a Certificate of Organization with the Secretary of the Commonwealth.
2. The purpose of the Company is to purchase, sell, own, manage, develop, lease and otherwise operate real property, and to engage in and carry on any lawful business, trade, purpose or activities permitted by the laws of the Commonwealth of Massachusetts.
3. The Company shall have perpetual existence and may be dissolved only by the Member as provided under the Act.
4. The initial capital contribution of the Member shall be \$1.00. The Member may contribute additional capital at any time.
5. The Company shall be managed by a Manager. The initial Manager shall be David Ying Yu Choy. The Member may remove the Manager and may appoint one or more persons to serve as Manager. Subject to the provisions of this Agreement, any Manager may exercise all the powers and privileges granted by the Act.
6. It is intended that the Company shall be a disregarded entity for tax purposes. The fiscal year of the Company shall be the calendar year.
7. The Company shall indemnify and hold harmless the Member and each Manager from and against claims and demands that are substantially related to their membership in or management of the Company. The Company shall pay expenses incurred by the Member or Manager in defending a civil or criminal action before the final disposition of such action upon receipt of an Agreement by such Member or Manager to repay such payment if he or she is adjudicated to be not entitled to indemnification under this section, which Agreement may be accepted without reference to the financial ability of such person to make repayment. The Company shall not indemnify or hold harmless the Member or any Manager with respect to any matter as to which he or she shall have been adjudicated in any proceeding not to have acted in good faith in the reasonable belief that his or her action was in the best interest of the Company.

8. This Agreement may be amended at any time by a writing executed by the Member.

Signed:

David Ying Yu Choy, Member



June 18, 2021

Ahava, LLC  
333 N. Canal Street  
Holyoke, MA

March 15, 2022

RE: Certification of No Employees

Ahava, LLC (the "Company") hereby certifies that it does not have any employees and does not anticipate hiring any employees until receipt of a provisional license from the Massachusetts Cannabis Control Commission (the "Commission"). Upon hiring its first employee, the Company will obtain and provide to the Commission a Certificate of Good Standing from the Massachusetts Department of Unemployment Assistance.

Attested:

A handwritten signature in black ink, appearing to read 'David Choy', is written over a horizontal line. The signature is stylized and cursive.

David YingYu Choy, Manager of Ahava, LLC

## **Ahava, LLC - Plan for Obtaining Liability Insurance**

### **Purpose**

The purpose of this plan is to outline how Ahava, LLC will obtain and maintain the required General Liability and Product Liability insurance coverage as required pursuant to 935 CMR 500.105(10): Liability Insurance or Maintenance of Escrow, or otherwise comply with this requirement.

### **Research**

Ahava, LLC has interviewed multiple insurance providers offering General and Product Liability Insurance coverage in the amounts required in 935 CMR 500.105(10). These providers are established in the legal marijuana industry. Ahava, LLC will select the insurance provider who best suits the needs of the company once a Provisional License is obtained.

### **Plan**

1. Upon receipt of a Provisional Marijuana Establishment License Ahava, LLC will engage an insurance provider experienced in the Massachusetts cannabis industry. Ahava, LLC will obtain and maintain general liability insurance coverage for no less than \$1,000,000 per occurrence and \$2,000,000 in aggregate, annually, and product liability insurance coverage for no less than \$1,000,000 per occurrence and \$2,000,000 in aggregate, annually. The deductible for each policy shall be no higher than \$5,000 per occurrence.
2. Should Ahava, LLC be unable to obtain the required insurance coverage, it will place a minimum of \$250,000 in an escrow account. These funds will be used solely to cover the liabilities contemplated in (1). In the event, Ahava, LLC, expends funds in the escrow account, it will replenish the escrow account within ten business days of such expenditure.
3. Ahava, LLC will maintain reports documenting compliance with 935 CMR 500.105(10) in a manner and form determined by the Commission and make these reports available to the Commission upon request.

## **Ahava, LLC – Business Plan**

### **Introduction**

Ahava, LLC, is a Massachusetts limited liability company established for the purpose of applying for licenses from the Massachusetts Cannabis Control Commission (CCC) to cultivate and manufacture product for the adult use cannabis market from our facility in Holyoke, Massachusetts. Our intention is to cultivate and manufacture high-quality cannabis and cannabis products for wholesale to other CCC licensed manufacturers and. The adult use cannabis market in Massachusetts presents exciting opportunities to establish a first- in-class cultivation facility that can produce high-quality yields that meet the quality and safety standards of the CCC. We are excited to join the Holyoke community and be part of revitalizing its proud heritage of manufacturing.

### **Business Goals/Mission Statement**

Ahava is committed to growing and manufacturing the highest quality cannabis and cannabis products in a safe environment. We are excited to bring our experience in business, real estate and social justice / cannabis advocacy from our home state of California to Holyoke, Massachusetts. Massachusetts was the first state in New England to legalize recreational cannabis. The demand for cannabis continues to grow and retail stores face shortages. There is a need for high-quality cultivation and manufacturing to meet this demand. Our decision to establish Ahava in Holyoke is based on its ideal combination of location, available industrial buildings, population demographics, and growing market demand.

### **Executive Team**

Our executive team brings many years of experience in business, real estate, and social justice / cannabis advocacy. The talent of the executive team will be invaluable in positioning Ahava, LLC business for success.

### **David YingYu Choy – Chief Executive Officer**

David Choy was born in Guangzhou, China; he immigrated to the United States, with his father, in 1982. Working first as a chef, then as a cross country truck driver, David's entrepreneurial spirit buoyed him to form his first company - a charter bus company. David ultimately transitioned out of the charter bus business and started his second company providing maintenance and leasing of equipment. David's ground service support business holds several of the largest contracts with three major US airports. David's role as CEO will be to drive the company's mission and purpose, always with an eye towards bettering the local community, and, in particular, the lives of immigrants to the area.

## **Karen Talton – Chief Operating Officer**

Karen has been involved in the cannabis industry since 1996. Karen worked closely with attorneys and pioneers writing Proposition 215 legalizing cannabis in California. She attended John F. Kennedy University of Law – with the goal of honing her social justice advocacy skills. Karen also attended Oaksterdam University (the first cannabis college to exist). Karen believes cannabis legislation and social justice go hand and hand. Karen’s role as COO will not only be to oversee the day-to-day administrative and operational functions but also to ensure the cultivation and product manufacturing facility is compliant with the local and state regulations.

### **Location**

Western Massachusetts is an emerging hub for the cannabis industry. Holyoke provides unparalleled access to major transportation crossroads with easy access to Route 91 and the Massachusetts Turnpike. There are many structurally sound former factory buildings that provide opportunities for adaptive reuse. The City of Holyoke also offers a unique advantage because it operates the electric utility, reducing the cost of electricity. Cultivating cannabis indoors in an energy-intensive process. While our goal is to follow the highest energy efficiency standards, basing our business in Holyoke will reduce our overall energy costs. We have secured a building at 333 N. Canal Street in Holyoke. The building has a unique layout that will be well-suited to the varied spaces required for cannabis cultivation and manufacturing and associated support staff. There is space for cultivating, manufacturing, storage, and administrative offices.

By retrofitting the building at 333 N. Canal Street we will bypass the wasteful and expensive process of demolition and reconstruction. The required utilities and services are already connected and only need modernization. This kind of adaptive reuse offers environmental benefits, energy savings, and the social advantage of repurposing a historic building.

The lower Connecticut River Valley is home to more than 2 million people. It is a growing and vibrant community. Between Hampden County and Hampshire County there are more than 15 colleges and universities. To support this customer base, several dispensaries have been established in the region. Dispensaries struggle to meet the high demand. The location, demographics, and strong demand of the lower Connecticut River Valley make Holyoke a strategic location for a cannabis cultivation and manufacturing facility.

### **Cultivation and Manufacturing**

#### **Cultivation**

Cannabis production can be thought of as a production line and production lines are run with a high degree of organization. The organizational structure of the Cultivation Team is essential to

ensuring the success of the Company as well as ensuring that the Company and all employees adhere to the state and municipal regulations in this highly regulated industry.

Growing a high-quality, safe product is our top goal. All employees working in cultivation will be trained in the standard IPM procedures for using living biological organisms to prevent and control fungal and insect pests. Only products (organisms) approved by the CCC and Massachusetts Department of Agriculture (MDAR) will be utilized. Such products include beneficial fungi, nematodes, bacteria and predatory insects as a first line of defense after sanitation procedures.

### **Extraction**

The processing and extraction spaces will be separate from the overall cultivation spaces and, as with cultivation, be maintained at a high level of sanitation. All extraction equipment as well as processing and packaging equipment will be located in clearly designated spaces. Only personnel involved in these processes will be allowed into these spaces unless the Director of Cultivation approves.

No products will be made to resemble commercially available candy. The Company currently does not have plans to produce any edibles. The Company will manufacture cannabis pre-rolls.

Compliance with waste management procedures will allow the facility to accurately track and dispose of waste in accordance with state guidelines and helps prevent diversion of contaminated materials.

### **Market Research**

#### **Industry**

Adult use recreational cannabis is a growing industry that has remained resilient in the face of challenges presented by the COVID-19 pandemic. The average consumer spends \$140 per visit and in 2020 legal cannabis sales surpassed \$1 billion in Massachusetts. Projections indicate that cannabis sales in the state of Massachusetts will surpass \$1.4 billion by 2025. For comparison, Colorado has recorded \$1.7 billion in cannabis sales. Massachusetts' population is 30% higher than Colorado, suggesting it is possible for the Commonwealth to surpass \$1.7 billion. Prior to the COVID-19 shutdown recreational sales were up 200% compared to the same time period in 2019, confirming growing demand.

Demand is projected to increase over time. Currently, recreational stores frequently experience product shortages and sometimes place limits on the quantity customers can purchase to avoid depleting their inventory. As of July 2020, Massachusetts has 57 recreational dispensaries and 32 active adult use cultivators. To increase supply, the has CCC approved 15 new cultivators and has issued 99 provisional cultivation licenses. As these cultivators begin operations, it will



increase the cultivation from 1.7 million square feet to over 7 million square feet. This demonstrates the need to rebalance the supply to meet growing demand from dispensaries.

### **Customers**

Ahava will sell product to marijuana retailers within the state. There are a significant number of retailers that the Company will approach regarding fulfillment of such retailers' needs.

### **Competitors**

The primary competitors for cultivation and manufacture of cannabis products are Curaleaf, Wellman Farms, and Happy Valley.

### **Competitive Edge**

Ahava' competitive advantage is our commitment to a high-quality product produced in a first-in-class facility that can meet the growing demand from the adult use cannabis market. We believe that as cultivation of cannabis expands, focusing on high product quality will reduce downward pressure on price. Our goal is to grow proven, high-quality strains that are always in demand.

Another component of our competitive edge is our location. Holyoke conveys a strategic advantage for distributing our product to our customers efficiently. We are also applying for a Tier 9 license to grow up to 85,000 square feet of product. The average size of cannabis cultivation is 52,000 square feet. This will give us the ability to meet our customer's demand for flower as well as the products that we will manufacture on site.

### **Timeline**

There are four stages in the timeline to update the building for cultivation and bring the first harvest to market. Below, a timeline of major milestones.

<b>Stage</b>	<b>Milestone</b>	<b>Time</b>	<b>Target Completion Date</b>
<b>Stage 1</b>	<b>Permitting Stage</b>	<b>3 months</b>	<b>June 2022</b>
	Receive Provisional Permit		
	Finalize building plans		
	City Approval of building plans		
<b>Stage 2</b>	<b>Construction and Build-out Stage</b>	<b>12 months</b>	<b>June 2023</b>
	Commence Build-out		
	Install and test security systems		
	Install/Test/Audit Waste Disposal Equipment		

	Obtain Certificate of Occupancy		
<b>Stage 3A</b>	<b>Furniture, Fixture &amp; Equipment Fit Up Stage</b>	<b>3 months</b>	<b>September 2023</b>
	Schedule Purchase/Delivery of Cultivation Equipment		
	Purchase Cultivation Furniture, Fixtures, and Equipment (FF&E)		
	Receipt of Cultivation FF&E		
	Install Cultivation FF&E		
<b>Stage 3B</b>	<b>Human Capital Stage</b>	<b>3 months</b>	<b>September 2023</b>
	Begin Hiring Processes		
	HR Manager to Solidify Placement Efforts and Diversity Goals		
	HR Manager to Commence Placement Efforts: Local, Regional, State		
	Hold Diversity Career Fair		
	Interview and hire core employees		
	Complete Hiring of Cultivation Technicians and Security Personnel		
<b>Stage 4</b>	<b>First Crop / Planting Stage</b>	<b>3 months</b>	<b>December 2023</b>
	Cultivation Equipment Calibration		
	Mock Cultivation Training		
	Mock Disposal, Emergency Recall and Safety Training		
	Final Operational Training		
	Plants in the Ground: Startup Inventory Logged into ETS		
	First Major Harvest		

**Financial Projections – See Exhibit A**

**Community Initiatives, Community Impact and Diverse Populations**

The Company is dedicated to serving and supporting the community of Holyoke as well as the communities that fall within areas of disproportionate impacts as defined by the CCC. It has established a comprehensive Plan to Positively Impact Disproportionately Harm People (“Social Impact Plan”). As part of its Social Impact Plan, the Company has established the goal that at least 30% of its work force will be comprised of individuals meeting one or more of the following criteria:

- Past or present resident of the City of Holyoke and other “areas of disproportionate impact,” in particular, those geographic areas of disproportionate impact proximate to or abutting the City of Holyoke
- Designated by the Cannabis Control Commission (“CCC”) as Social Equity Program participants;
- Massachusetts resident who have past drug convictions; and
- Massachusetts residents with parent or spouses who have drug convictions.

The Company has also developed a comprehensive Diversity Plan and is committed to hiring employees and sourcing vendors and services from the local community. In addition, the Company will promote equity in its operations for diverse populations, including, minorities, women, veterans, people with disabilities, and people identifying as LGBTQ+ by establishing certain goals and programs to support those goals, which are detailed in its Diversity Plan.

The Company will work with local career training facilities in Holyoke and post open positions in local newspapers, social media, and bilingual media in order to meet the goals identified in its Social Impact and Diversity Plans.

The Company’s Personnel Plan has been designed to support its Social Impact and Diversity Plans. The Company is an equal opportunity employer and seeks to promote equity in its operations to diverse populations. The Company will comply with all federal, state and local employment laws regarding wage-hour, benefits, paid and unpaid time off, leaves, and disability and religious accommodations. The Company will offer a competitive benefits package and invest in the training, development and promotion of its employees. The Company’s personnel policies will also seek to prevent unlawful discrimination and harassment. The Company will employ a comprehensive background check policy to ensure compliance with the adult-use cannabis regulations while supporting social equity program participants.

## **Security**

The Company will have a robust internal security department on-site and will contract with an alarm company to design, implement, and monitor a comprehensive security plan to ensure that the facility is a safe and secure environment for employees and the local community. The Company’s state-of-the-art security system will consist of perimeter windows, as well as duress, panic, and holdup alarms connected to local law enforcement for efficient notification and response in the event of a security threat. The system will also include a failure notification

system that will immediately alert the executive management team if a system failure occurs. A redundant alarm system will be installed to ensure that active alarms remain operational if the primary system is compromised. Interior and exterior HD video surveillance of all areas that contain marijuana, entrances, exits, and parking lots will be operational 24/7 and available to the City of Holyoke Police Department as well as the CCC, upon request. These surveillance cameras will remain operational even in the event of a power outage. The exterior of the Company's facility and surrounding area will be sufficiently lit, and foliage will be minimized to ensure clear visibility of the area at all times. Only the Company's registered agents and other authorized visitors (e.g. contractors, vendors) will be allowed access to the facility, and a visitor log will be maintained. All agents and visitors will be required to visibly display an ID badge, and the Company will maintain a current list of individuals with access.

### **Operating Policies and Procedures**

The Company is committed to compliance with all applicable laws and regulations governing the cultivation and manufacture of cannabis and cannabis products for adult-use. In furtherance thereof, the Company has prepared the following operating plans which contemplate the adoption of detailed policies and procedures to implement each plan following receipt of a provisional license from the Commission. The Company has prepared the following plans in connection with the submission of its application to the Commission:

- Personnel Plan and Background Checks.
- Energy Compliance Plan
- Cultivation Plan
- Manufacturing Methods Plan
- Prevention of Diversion Plan
- Restricting Access to Age 21 and Older Plan
- Security Plan
- Storage of Marijuana Plan
- Transportation of Marijuana Plan
- Qualifications and Training Plan
- Maintaining Financial Records Plan
- Recordkeeping Plan
- Diversity Plan
- Social Impact Plan
- Quality Control and Testing of Marijuana Plan
- Safety Plan for Manufacturing

**Exhibit A**

Building Costs	
Architect and MEP	\$230,000
General Contractor	\$150,000
Cultivation Equipment	\$650,000
Build Out	\$5,000,000
Building Cost Totals	\$6,030,000
Other Start up costs	
Legal	\$25,000
Cannabis and Manufacturing License	\$3,500
Insurance	\$32,000
Office and Business Supplies	\$10,000
Other Start-up Costs Total	\$70,500

**Ahava, LLC—Plan for Separating Recreational from Medical Operations**

Not Applicable.

## **Ahava, LLC – Plan For Restricting Access To Age 21 And Older**

### **Purpose**

Ahava, LLC (the “Company” or “Ahava”) has prepared this Plan for Restricting Access To Age 21 And Older (the “Plan”) in compliance with 935 CMR 500.000 (the “Regulations”), including, specifically, but not limited to 934 CMR 500.105(1)(p) and 500.105(4).

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by the Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal St, Holyoke, MA 01040 (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency having jurisdiction over the Company’s operations.

Any terms not defined in this Plan shall have the meaning given to them by the Regulations.

### **SUMMARY**

The Company is committed to allowing individuals aged 21 and older access to its facility.

### **ACCESS RESTRICTED**

The Company’s facility will only be accessible to individuals 21 years of age or older who are the Company’s registered Marijuana Establishment Agents or authorized visitors with a valid, government-issued photo identification (“photo ID”) demonstrating that such individual is 21 years of age or older.

Prior to an individual entering the facility, the Company’s security personnel will inspect the individual’s Marijuana Establishment agent registration card or photo ID, to verify the individual’s identity and confirm the individual is at least 21 years of age.

The Company’s security personnel will be on-site during business hours to observe, report and prevent loitering, solicitation, diversion or attempted diversion of Marijuana and Marijuana Products, and access or attempted access by individuals under the age of 21. During the on-boarding process and thereafter, on a yearly basis, all employees will receive training on the Company’s Plan for Restricting Access to Age 21 and Older.

### **EMPLOYMENT WITH THE COMPANY**

The Company will only hire as a Marijuana Establishment Agent any individuals who (a) are 21 years of age or older; (b) Have not been convicted of an offense in the Commonwealth involving the distribution of controlled substances to minors, or a like violation of the laws of Other Jurisdictions; and (c) are determined suitable for registration consistent with the provisions of 935CMR 500.800: Suitability Standard for Licensure and Registration and 935 CMR 500.801: Suitability Standard for Licensure or 935 CMR 500.802: Suitability Standard for Registration as a Marijuana Establishment Agent. In accordance with the Company’s Prevention of Diversion Plan, any Marijuana Establishment Agent (or employee) who diverts marijuana shall be dismissed immediately, and the diversion shall be reported to law enforcement and to the Commission pursuant to 935 CMR 500.105(1)(l).

## **ADVERTISING OF THE COMPANY'S PRODUCTS**

The Company will not engage in any marketing, advertising or branding practices that are targeted to, deemed to appeal to or portray minors under the age of 21 in compliance with 935 CMR 500.105(4).

In furtherance of its compliance efforts:

- The Company will not adopt a Brand Name to be used in labeling, signage, and other materials, that uses medical symbols, images of Marijuana or Marijuana Products or related Paraphernalia images that are appealing to persons younger than 21 years old, or contain colloquial references to Marijuana and Cannabis.
- The Company will only use its Brand Name for sponsorship of a charitable, sporting or similar event, so long as the following conditions are met:
  - Sponsorship of the event is limited to the Brand Name;
  - Any Advertising at or in connection with such an event is only targeted to entrants or participants reasonably expected to be 21 years of age or older, as determined by reliable, current audience composition data; and
  - The Company has taken reasonable safeguards to prohibit Advertising from targeting or otherwise reaching entrants or participants reasonably expected to be younger than 21 years old, as determined by reliable, current audience composition data.
- The Company will only use its Brand Name for sponsorship of a charitable, cultural or similar event both held and organized by the city or town in which the Marijuana Establishment is licensed to conduct business, so long as the following conditions are met:
  - The Company has included sponsorship of said event shall be included in its Positive Impact Plan submitted in accordance with 935 CMR 500.101(1)(a)11;
  - Sponsorship of the event is limited to the Brand Name; and
  - Any Advertising at or in connection with such an event is only targeted to entrants or participants reasonably expected to be 21 years of age or older, as determined by reliable, current audience composition data; and
  - The Company has taken reasonable safeguards to prohibit Advertising from targeting or otherwise reaching entrants or participants reasonably expected to be younger than 21 years old, as determined by reliable, current audience composition data.
- Where the Company engages in Brand Name Sponsorship under 935 CMR 500.105(4)(a)(2) and (3), the Company shall retain documentation of reliable, reasonable audience composition data that is the basis for allowing any such Advertising or branding for a period of one year, or longer if otherwise required by the Commission, or a court or agency with jurisdiction.
- The Company will not manufacture or sell any edible products that resemble a realistic or fictional human, animal, fruit, or sporting-equipment item, including artistic, caricature or cartoon renderings, pursuant to 935 CMR 500.150(1)(b).
- In accordance with 935 CMR 500.105(4)(a)(5), the Company will include on any marketing, advertising and branding materials for public viewing the following warning "Please Consume Responsibly", in a conspicuous manner on the face of the advertisement and shall include a minimum of two of the following warnings in their entirety in a conspicuous manner on the face of



the advertisement:

- "This product may cause impairment and may be habit forming.";
  - "Marijuana can impair concentration, coordination and judgment. Do not operate a vehicle or machinery under the influence of this drug.";
  - "There may be health risks associated with consumption of this product.";
  - "For use only by adults 21 years of age or older. Keep out of the reach of children."; or
  - "Marijuana should not be used by women who are pregnant or breastfeeding."
- Pursuant to 935 CMR 500.105(6)(b), the Company's packaging for any marijuana or marijuana products will not use bright colors, resemble existing branded products, feature cartoons or celebrities commonly used to market products to minors, feature images of minors or other words that refer to products commonly associated with minors or otherwise be attractive to minors.
  - The Company's website will require all online visitors to verify they are 21 years of age or older prior to accessing the website, in accordance with 935 CMR 500.105(4)(b)(13).

## **Ahava, LLC – Personnel Policies Including Background Checks**

### **Purpose**

Ahava, LLC (the “Company” or “Ahava”) has prepared this summary of its Personnel Policies including its Background Check Policy (“Summary”) to summarize the Company’s Personnel Manual and the Company’s policies and procedures regarding background checks. The Company’s Personnel Policies, including background checks, have been prepared to comply with 935 CMR 500.00 (the “Regulations”) and any other requirements or sub-regulatory guidance issued by the Massachusetts Cannabis Control Commission (the “CCC” or the “Commission”) or any other regulatory agency having jurisdiction and authority over the Company’s operations.

Any term not defined in this Summary shall have the meaning given such term in the Regulations.

### **Registration of Company Agents**

All of the Company’s board members, directors, employees, executives, managers and volunteers will register with the Commission as a Marijuana Establishment Agent (a “Company Agent”). An employee means, any consultant or contractor who provides on-site services to the Company related to the cultivation, harvesting, preparation, packaging, storage, testing, or dispensing of Marijuana. All Company Agents will be registered agents for Adult-Use pursuant to 935 CMR 500.000.

All Company Agents shall:

- Be 21 years of age or older;
- Not been convicted of an offense in the Commonwealth involving the distribution of controlled substances to minors, or a like violation of the laws of another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority; and
- Be determined to be suitable for registration consistent with the provisions of 935 CMR 500.800 and 500.802.

The Company will submit to the Commission an application for every Company Agent, this application will include:

- The full name, date of birth, and address of the applicant;
- All aliases used previously or currently in use by the applicant, including maiden name, if any;
- A copy of the applicant’s driver’s license, government-issued identification card, liquor purchase identification card issued pursuant to M.G.L. c. 138, § 34B, or other verifiable identity document acceptable to the Commission;
- An attestation that the applicant will not engage in the diversion of Marijuana Products;
- Written acknowledgment by the applicant of any limitations on his or her authorization to cultivate, harvest, prepare, package, possess, transport, and dispense Marijuana in the Commonwealth;
- Background information, including, as applicable:
  - A description and the relevant dates of any criminal action under the laws of the Commonwealth, or another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority, whether for a felony or misdemeanor and which resulted in conviction, or guilty plea, or plea of nolo contendere, or admission of sufficient facts;

- A description and the relevant dates of any civil or administrative action under the laws of the Commonwealth, another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority relating to any professional or occupational or fraudulent practices;
- A description and relevant dates of any past or pending denial, suspension, or revocation of a license or registration, or the denial of a renewal of a license or registration, for any type of business or profession, by any federal, state, or local government, or any foreign jurisdiction;
- A description and relevant dates of any past discipline by, or a pending disciplinary action or unresolved complaint by, the Commonwealth, or a like action or complaint by another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority with regard to any professional license or registration held by the applicant;
- A nonrefundable application fee paid by the Marijuana Establishment with which the Marijuana Establishment Agent will be associated; and
- Any other information required by the Commission.

The Company's CEO shall register with the Department of Criminal Justice Information Systems pursuant to 803 CMR 2.04: iCORI Registration and will submit to the Commission a Criminal Offender Record Information (CORI) report and any other background check information required by the Commission for each individual for whom the Company seeks a Marijuana Establishment Agent registration, obtained within 30 days prior to submission.

The Company will notify the Commission no more than one business day after a Company Agent ceases to be associated with the establishment. The registration shall be immediately void when the Agent is no longer associated with the establishment. The Agent registration card(s) is valid for one year from the date of issue, the Company will renew each Company Agent Registration Card(s) on an annual basis upon a determination by the Commission that the applicant for renewal continues to be suitable for registration. After obtaining a registration card(s) for an Ahava, LLC Agent, the Company will notify the Commission, in a form and manner determined by the Commission, as soon as possible, but in any event, within five (5) business days of any changes to the information that the establishment was previously required to submit to the Commission or after discovery that a registration card(s) has been lost or stolen.

All Company Agents will carry the registration card(s) at all times while in possession of Marijuana Products, including at all times while at the establishment or while transporting Marijuana Products.

### **Background Checks**

The Company will comply with all Background Check requirements in the Regulations and any other sub regulatory guidance issued by the Commission.

- **Application Process.** During the application process the Company will complete the Background Check Packet as outlined in 935 CMR 500.101(1)(b) and will also comply with the Background Check Packet as outlined in 935 CMR 501.100. Background Checks will be completed for:
  - The list of individuals and entities in 935 CMR 500.101(1)(a)1; namely all executives,

managers, persons or entities having direct or indirect authority over the management, policies, security operations or cultivation operations of the Company; close associates and members of the Company, if any; and a list of all persons or entities contributing 10% or more of the initial capital to operate the Company including capital that is in the form of land or buildings;

- Information for each individual identified in 935 CMR 500.101(1)(a)1, which shall include:
  - The individual's full legal name and any aliases;
  - The individual's address;
  - The individual's date of birth;
  - A photocopy of the individual's driver's license or other government-issued identification card;
  - A CORI Acknowledgment Form, pursuant to 803 CMR 2.09: Requirements for Requesters to Request CORI, provided by the Commission, signed by the individual and notarized;
  - Authorization to obtain a full set of fingerprints, in accordance with M.G.L. c. 94G, § 21, submitted in a form and manner as determined by the Commission.
- Relevant Background Check Information. Applicants for licensure will also be required to information detailing involvement in any criminal or civil or administrative matters:
  - A description and the relevant dates of any criminal action under the laws of the Commonwealth, or another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority, whether for a felony or misdemeanor including, but not limited to, action against any health care facility or facility for providing marijuana for medical or recreational purposes, in which those individuals either owned shares of stock or served as board member, executive, officer, director or member, and which resulted in conviction, or guilty plea, or plea of nolo contendere, or admission of sufficient facts;
  - A description and the relevant dates of any civil action under the laws of the Commonwealth, another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority, including, but not limited to a complaint relating to any professional or occupational or fraudulent practices;
  - A description and relevant dates of any past or pending legal or enforcement actions in any other state against any board member, executive, officer, director or member, or against any entity owned or controlled in whole or in part by them, related to the cultivation, processing, distribution, or sale of marijuana for medical or recreational purposes;
  - A description and the relevant dates of any administrative action, including any complaint, order or disciplinary action, by the Commonwealth, or like action by another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority, including, but not limited to any complaint or issuance of an order relating to the denial, suspension, or revocation of a license, registration, or certification;
  - A description and relevant dates of any administrative action, including any

complaint, order or disciplinary action, by the Commonwealth, or a like action by another state, the United States or foreign jurisdiction, or a military, territorial, Native American tribal authority or foreign jurisdiction, with regard to any professional license, registration, or certification, held by any board member, executive, officer, director, or member that is part of the applicant's application, if any;

- A description and relevant dates of actions against a license to prescribe or distribute controlled substances or legend drugs held by any board member, executive, officer, director or member that is part of the applicant's application, if any; and
  - Any other information required by the Commission. The Company will not present any individual in our application whose background check will result in a Mandatory Disqualification or Presumptive Negative Suitability Determination as outlined in Table A of 935 CMR 500.801.
- **Background Checks Post Application Process.** For all Marijuana Establishment Agent Registrations not included in the application process, the Company will submit Marijuana Establishment Agent applications and any required documentation to the Commission for all required individuals. The Company will perform its own due diligence and background checks, which will include an iCORI check, in the hiring of employees and contractors and will not knowingly submit an employee or contractors' application if the background check would result in a Mandatory Disqualification or Presumptive Negative Suitability Determination as outlined in Table B, C and D of 935 CMR 500.802.

### **Personnel Records**

The Company will create and maintain a separate personnel record for each applicant and employee. Personnel records shall be maintained in hard copy in a secure file in the Director of Human Resources' office. The Company may also maintain personnel records in electronic format stored in a secure server with encryption software that protects against unauthorized access to the files. Access to personnel records shall be restricted to the Company's Executive Team and the Director of Human Resources. The Company will keep, at a minimum, the following personnel records:

- Job descriptions for each employee and volunteer position, as well as organizational charts consistent with the job descriptions;
- A personnel record for each Agent of the Company which records shall include, at a minimum, the following:
  - All materials submitted to the Commission pursuant to 935 CMR 500.030(2).
  - Documentation of verification of references.
  - The job description or employment contract that includes duties, authority, responsibilities, qualifications, and supervision.
  - Documentation of all required training, including training regarding privacy and confidentiality requirements, and the signed statement of the individual indicating the date, time, and place such individual received said training and the topics discussed, including the name and title of presenters.
  - Documentation of periodic performance evaluations.
  - A record of any disciplinary action taken.

- Notice of completed Responsible Vendor Training Program and in-house training for Marijuana Establishment Agents required under 935 CMR 500.105(2).

Such records shall be maintained for at least 12 months after termination of the individual's employment or affiliation with the Company, unless a longer period of time is required pursuant to M.G.L. c. 149, § 52C.

- A staffing plan demonstrating accessible business hours and safe conditions.
- Personnel policies and procedures.
- All background check reports obtained in accordance with 935 CMR 500.030.

## **STAFFING PLAN**

**Initial Staffing Plan.** During the Company's first year of operations the Company anticipates staffing as follows:

- Executive Team – Chief Executive Officer, Chief Financial Officer, Chief Operating Officer
- Administration – Director of Human Resources, General Manager, Bookkeeper (1), Administrative Assistant (1)
- Cultivation Department – Director of Cultivation / Head Grower, Cultivation Manager / Lead Grower, Cultivation Leads (9), Cultivation Technicians (20), Harvesters (8)
- Production Department – Production Manager, Inventory Manager, Inventory Associates (1), Production Leads (4), Lab Technicians (8), Production Technicians / Packagers (10 FT), Post Harvester Technicians (6), Trimmers
- Security Department – Director of Security, Security Manager (1), Security Agents (8)
- Maintenance – Custodians (4)

## **JOB DESCRIPTIONS**

### **Chief Executive Officer**

The Chief Executive Officer (CEO) is responsible for overseeing all aspects of the Company's operations including compliance, security, cultivation, production, Facility operations, and marketing. The CEO reports directly to the Company's owners (its Members). The CEO must be capable of effectively delegating responsibility and monitoring progress to ensure that the Company meets its financial goals. The CEO will be responsible for preparing annual and three-year business plans to present to the Company's members, which will include financial projections and strategic objectives.

### Responsibilities:

- Build and promote a culture of compliance, peak performance, and excellence which includes recruiting talent and developing the talent of the organization.
- Develop annual projections and three-year projections including strategic objectives.
- Implement the appropriate incentive structure to achieve annual and long-term goals without compromising compliance.
- Delegate responsibility to the executive team to execute business strategies and initiatives and monitor the progress to ensure that business objectives are achieved.

- Review and update the operating procedures at least annually to ensure best practices and compliance with all regulations.
- Monitor the competitive landscape and regulatory environment in order to develop a strategy to generate the highest risk-adjusted returns and effectively service the Company's customers.
- Evaluate investment opportunities to effectively allocate capital.
- Manage public relations for the organization and make public and media appearances to promote the business and the brand as well as meeting with public officials and trade groups to maintain good relations.

Qualifications/Experience:

- Bachelor's Degree in business or finance is preferred.
- Significant experience cannabis or similar business.
- Significant experience managing a large organization in a heavily regulated industry.
- Detailed knowledge of Massachusetts Adult-Use Cannabis regulations.
- Able to be a Registered Marijuana Establishment Agent.

**Chief Financial Officer**

The Chief Financial Officer ("CFO") is responsible for managing the finances of the Company including preparing financial statements, managing cash/cash flow, and supporting the CEO in evaluating investment opportunities. The CFO reports directly to the Company's owners (its Members).

Responsibilities:

- Responsible for the Company's financial statements, general ledger, cost accounting, payroll, accounts payable, accounts receivable, budgeting, tax compliance, and various special analyses.
- Research and analyze the return profiles of capital allocation opportunities.
- Work with outside accountants to prepare tax returns and manage tax expenses.
- Setup financial infrastructure and work with auditors/consultants to ensure the appropriate controls are in place. Review at least annually the financial controls and update processes/systems to ensure the necessary controls are in place.
- Manage and cultivate banking relationships. Continually assess access to capital.
- Work with the executive team to prepare annual budgets and projections.
- Implement a process to record transactions by department and compare costs incurred to budget and performance analysis of profit centers.
- Perform cash projections to effectively manage cash balances and maximize the return on any excess cash balances.

Qualifications/Experience:

- Bachelor's Degree in business or finance preferred.
- Extensive experience working as a CFO or Controller in a cannabis company or comparable industry.
- Knowledge of the Massachusetts Adult-Use Cannabis regulations.
- Highly organized and detail oriented.
- Able to be a Registered Marijuana Establishment Agent.

### **Chief Operating Officer**

The Chief Operating Officer (COO) will be responsible for overseeing the day-to-day operations of the cultivation, production, Facility, and marketing operations. The COO reports to the CEO, or in the CEO's absence, the CFO.

#### Responsibilities:

- Provide day-to-day leadership and management of the cultivation, production, Facility, and marketing operations which includes setting production schedules, managing inventory levels, coordinating product and cash transports.
- Manage the marketing and promotional activity of the business.
- Drive the Company to achieve and surpass sales, profitability, cash flow and business goals and objectives.
- Oversee all P&L and budgeting for the entire operation.
- Measure the effectiveness of all processes internal and external.
- Provide timely, accurate and complete reports on the operating condition of the Company.
- Spearhead the development, communication and implementation of effective growth strategies and processes.
- Collaborate with the management team to develop and implement plans for the operational infrastructure of systems, processes, and personnel designed to accommodate the rapid growth objectives of the organization.
- Motivate and lead a high-performance management team; attract, recruit and retain required members of the executive team not currently in place; provide mentoring as a cornerstone to the management career development program.
- Responsible for approving and managing research and development projects.
- Implements corrective action plans such as product recalls or regulatory violations.

#### Qualifications/Experience:

- Bachelor's Degree in law, business or finance preferred.
- Extensive experience operating Adult-Use Cannabis or similar business.
- Experience working as the COO Adult-Use Cannabis or in a comparable industry.
- Knowledge of Massachusetts Adult-use Cannabis regulations.
- Highly organized and detail oriented.
- Able to be a Registered Marijuana Establishment Agent.

### **Director of Security.**

The Director of Security reports to the Chief Executive Officer, or the CEO's designee, and is responsible for the development and overall management of the Security Policies and Procedures for the Company, while implementing, administering, and revising the policies as needed. The Director of Security oversees the Security Agents.

#### Responsibilities:

- Provide general training to the Company's agents during on-boarding and throughout the year on matters related to the Company's Security Policies and Procedures and related emergent issues.



- Develop and provide training specific for the position of Security Agents prior to the Security Agent commencing job functions and throughout the year on matters related to the Company's Security Policies and Procedures and related emergent issues.
- Conduct and or supervise Security Agents conducting investigations into reportable and non-reportable incidents.
- Review and approve incident reports and other reports written by Security Agents prior to submitting to the Executive Team.
- Maintain lists of agents authorized to access designated areas of the Company's facility, including cash and product storage vaults, the surveillance and network equipment room, and other highly sensitive areas of the Company's facility.
- Lead a working group comprised of the Chief Executive Officer, Chief Operating Officer, Director of Human Resources, and any other designated advisors to ensure the Company's current policies and procedures are properly implemented, integrated, effective, and relevant to ensure the Company's, its assets, and its personnel's safety, security and compliance with the Regulations and applicable laws, as well as the safety of the Company's authorized visitors and the community.
- Ensure that all required background checks have been completed and documented prior to an agent performing job functions; ensure agent is granted appropriate level of access to the facility necessary to complete such agent's job functions.
- Maintain all security-related records, incident reports and other reports written by security agents.
- Evaluate and determine the number of Security Agents assigned to each shift and proper shift change times.
- Maintain frequent contact with local law enforcement authorities.
- Such other duties may be assigned by the Chief Executive Officer.

Qualifications/Experience:

- Ten years of experience in government security, corrections, or law enforcement.
- Previous experience in the cannabis industry or regulated industry.
- Excellent verbal communication and human relation skills.
- Very organized and detail oriented.

**Security Manager**

The Security Manager supports the Director of Security in the day-to-day operations of the Security Department, including overseeing the Security Agents.

Responsibilities:

Under the guidance and direction of the Director of Security:

- Provide general training to the Company's agents during on-boarding and throughout the year on matters related to the Company's Security Policies and Procedures and related emergent issues;
- Develop and provide training specific for the position of Security Agents prior to the Security Agent commencing job functions and throughout the year on matters related to the Company's Security Policies and Procedures and related emergent issues;

- Conduct and or supervise Security Agents conducting investigations into reportable and non-reportable incidents;
- Review and approve incident reports and other reports written by Security Agents prior to submitting to the Executive Team;
- Maintain lists of agents authorized to access designated areas of the Company's facility, including cash and product storage vaults, the surveillance and network equipment room, and other highly sensitive areas of the Company's facility;
- Maintain frequent contact with local law enforcement authorities; and
- Such other duties may be assigned by the Director of Security.

Qualifications/Experience:

- Five years of experience in security for a governmental or private organization preferred.
- Previous experience in investigation and safety and security of persons and property, preferably as a police officer or corrections officer.
- Excellent verbal communication and human relation skills.
- Very organized and detail oriented.

**Security Agent.**

Security Agents monitor the Company's security systems including alarms, video surveillance, and motion detectors. Security Agents are responsible for ensuring that only authorized individuals are permitted access to the Company's facility by verifying appropriate ID cards and other forms of identification. Security Agents report to the Director of Security.

Responsibilities:

- Investigate, communicate, and provide leadership in the event of an emergency such as an intrusion, fire, or other threat that jeopardizes customers, authorized visitors, and the Company agents.
- Respond and investigate security situations and alarm calls; clearly document the incident and details surrounding the incident in a written report for the Director of Security.
- Oversee the entrance to the facility and verify credentials of each person seeking access to the Company's facility.
- Answer routine inquiries.
- Maintain visitor log.
- Escort authorized visitors in restricted access areas.
- Escort the Company's agents from the facility during non-business hours.
- Perform and document security checks at designated intervals.
- Such other duties may be assigned by the Director of Security.

Qualifications/Experience:

- Two years of experience in security for a governmental or private organization preferred.
- Previous experience in investigation and safety and security of persons and property, preferably as a police officer or corrections officer.
- Excellent verbal communication and human relation skills.
- Very organized and detail oriented.

### **Director of Human Resources.**

The Director of Human Resources will support the Executive Team on a day-to-day basis to effectively implement all personnel policies and procedures for the Company, including hiring processes. The Human Resources Manager reports to the Chief Operating Officer.

#### Responsibilities:

- Oversee recruitment, hiring and termination of all employees.
- Review and revise the Company's personnel policies and procedures in consultation with the Executive Team and department managers.
- Develop and provide training to the Executive Team, department managers and agents regarding employment policies and procedures.
- Schedule and track qualifications and training of agents.
- Conduct investigations and address employee complaints and discipline as necessary.
- Ensure the Company's compliance with applicable all workplace laws.
- Such other duties as may be assigned by the Chief Operating Officer.

#### Qualifications / Experience:

- Masters' degree in Human Resource Management or JD.
- 5-7 years relevant experience working in human resources or related position.
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred.
- In depth knowledge of federal, state, and local employment and labor laws.
- Effective communicator.

### **General Manager.**

The General Manager directs and manages the Company's business activities and develops and implements effective business strategies and programs. The General Manager reports to the Chief Operating Officer (COO).

#### Responsibilities:

- Oversee daily business operations.
- Develop and implement growth strategies.
- Create and manage budgets and operational costs.
- Allocate budget resources.
- Improve revenue, drive productivity and sales.
- Formulate and implement policies and SOPs.
- Coordinate business operations.
- Ensure good customer service.
- Improve administration processes.
- Engage with vendors.
- Interview applicants and train employees.
- Evaluate performance and productivity.
- Identify business opportunities.

- Oversee of METRC data for the facility.

Qualifications/Experience:

- 5+ years of experience as General Manager or equivalent position in a cannabis company or similar industry.
- Excellent organizational and leadership abilities
- Good knowledge of different business functions.
- Strong leadership qualities.
- Excellent communication skills.
- Highly organized.
- Strong work ethic.
- Excellent team building and interpersonal skills.
- Proactive nature.

**Inventory Manager**

The Inventory Manager is responsible for inventory on a day-to-day basis as well as the weekly and monthly inventory counts and waste disposal requirements. The Inventory Manager will perform the comprehensive annual inventory in conjunction with the Executive Team. The Inventory Manager reports to the General Manager. The Inventory Manager oversees and manages the Inventory Associates. In addition, the Inventory Manager shall perform the following duties:

- Implement inventory controls to track and account for all dispensary inventory;
- Implement procedures and notification policies for proper disposal;
- Maintain records, including operating procedures, inventory records, audit records, storage and transfer records;
- Maintain documents with each day's beginning, acquisitions, sales, disposal, and ending inventory;
- Proper storing, labeling, tracking, and reporting of inventory; and
- Such other duties may be assigned by the General Manager.

Experience/Qualifications:

- Bachelors' degree in Accounting, Finance, or related field
- 3-5 years relevant experience working in inventory control, or related position
- High degree of accuracy and attention to detail
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Effective communicator
- Self-starter and takes direction well
- Computer literate
- Inventory management experience a plus
- Familiarity with METRC inventory tracking regulations a plus
- Able to be licensed as a Marijuana Establishment Agent

## **Inventory Associate**

Inventory Associates support the Inventory Manager during day-to-day operations. Responsibilities include, but are not limited to:

- Maintain records, including operating procedures, inventory records, audit records, storage and transfer records;
- Maintain documents with each day's beginning, acquisitions, sales, disposal and ending inventory;
- Ensure products are properly stored, labeled, and recorded in the Metric system;
- Ensure waste is properly stored;
- Coordinate the waste disposal schedule and ensure the Company's policies and procedures for waste disposal are adhered to; and
- Such other duties as may be assigned by the Inventory Manager.

### Experience/Qualifications:

- Associates degree in Accounting, Finance, or related field
- 1-2 years relevant experience working in inventory control, or related position
- High degree of accuracy and attention to detail
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Effective communicator
- Self-starter and takes direction well
- Computer literate
- Inventory management experience a plus
- Familiarity with METRC inventory tracking regulations a plus
- Able to be licensed as a Marijuana Establishment Agent

## **Director of Cultivation / Head Grower**

The Director of Cultivation (aka the Head Grower) is responsible for all daily operations and maintenance of the Cultivation Department. The Director of Cultivation reports to the General Manager.

### Responsibilities:

- Implement policies and procedures for the Cultivation Department.
- Coordinate space assignments.
- Receive and review work requests.
- Coordinate repairs and maintenance.
- Supervise and train agents in an ongoing capacity.
- Provide mandatory training for new agents.
- Maintain a record of space allocations.
- Work with Cultivation Technicians to promote successful operations in the Cultivation Facility Program and monitor the Cultivation equipment and computer programs.
- Maintain a database of environmental controls and conditions.
- Ensure efficiency of operation.

- Provide pesticide recommendations and ensure the IPM Program is sufficient.

Experience/Qualifications:

- Extensive experience and knowledge of flowering plants and their development and care
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Effective communicator
- Self-starter and takes direction well
- Computer literate
- Bachelor's degree in horticulture, botany or similar field
- Able to be licensed as a Marijuana Establishment Agent

**Cultivation Manager / Lead Grower**

The Cultivation Manager supervises and participates in all aspects of daily Cultivation Department tasks. The Cultivation Manager works under the supervision of the Director of Cultivation.

Responsibilities:

- Instruct Cultivation Technicians on cultivation policies and procedures;
- Train and supervise Cultivation Technicians;
- Assist Cultivation Technicians with their job duties;
- Instruct Cultivation Technicians on the application of or applying pesticides with guidance from the Director of Cultivation;
- Perform routine maintenance;
- Maintain inventory of all cultivation supplies and order such supplies;
- Report daily to Director of Cultivation;
- Coordinate with other department managers regarding harvest schedules; and
- Such other duties as may be assigned by the Director of Cultivation.

Experience/Qualifications:

- Extensive experience and knowledge of flowering plants and their development and care
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Effective communicator
- Self-starter and takes direction well
- Computer literate
- Able to be licensed as a Marijuana Establishment Agent
- Bachelor's degree in horticulture, botany preferred

**Cultivation Lead.**

The Cultivation Lead manages all aspects of the bloom and cultivation rooms and coordinates all

personnel activities with other team leads. The Cultivation Lead reports to the Cultivation Manager.

Responsibilities:

- Grow plants to desired size and shape in time allotted using tools provided by the Cultivation Manager
- Understand and support the overall operations management structure and goals
- Communicates well both up and down within the organization keeping management up to date on the status of the operation and keeping their people up to date on the status of the operation.
- Anticipates and requests additional labor from other areas or from management when work bubbles demand.
- Mentor and train employees
- Willingness to seek assistance from external sources when problems arise.
- Ability to identify areas for improvement to management and make suggestions regarding changes to increase efficiencies
- Manages spray activities and pesticide ordering jointly with the veg lead
- Direct employees in pesticide handling and application
- Maintains pesticide and nutrient inventories
- Responsible for using only CDA cleared pesticides
- Reflect state of the bloom rooms through data entry into METRC

Qualifications/Experience:

- Extensive experience and knowledge of flowering plants and their development and care
- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Be a certified applicator or able to become one within 30 days of employment
- Effective communication skills
- Experience directing people in specified tasks
- Self-starter and takes direction well
- Computer literate
- Able to be licensed as a Marijuana Establishment Agent
- High School diploma or GED

Performance metrics:

- Timely delivery of pest free plants to harvest
- Complete, accurate and timely entrance and maintenance of data in METRC database to reflect current state of cultivation inventory
- Bloom floor is clean, organized and supplied
- Employees are productive and have good morale
- No major disease or pest outbreaks

### **Production Manager.**

The Production Manager is responsible for all post-harvest handling of marijuana. The Production Manager coordinates directly with the Cultivation Manager regarding harvest schedules. Production Manager reports directly to the Facility Manager.

#### Responsibilities:

- Transitioning harvested plant material from cultivation rooms to the Trim Room where marijuana is trimmed via machine and manually;
- Overseeing Trim Technicians and delegates daily tasks to production agents;
- Ensuring quality control of finished marijuana flowers;
- Monitoring the status of the Dry Room and of marijuana flowers that are in the process of drying;
- Entering wet and dry weights of all products including flowers and trim into the electronic point-of sale system (POS);
- Working with Cultivation Technicians to ensure prompt transfer of marijuana trim to relevant room within the Cultivation Department;
- Overseeing bulk packaging and storing in dedicated vault;
- Relaying information to the Inventory Manager for sales purposes; and
- Such other duties may be assigned by the Director of Cultivation.

#### Experience/Qualifications:

- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Effective communication skills
- Experience directing people in specified tasks
- Able to be licensed as a Marijuana Establishment Agent
- High School diploma or GED

### **Cultivator / Trim Lead**

Trim Lead is responsible for timely post-harvest trimming of marijuana plants, both mechanical and manual. Trim Leads report directly to the Production Manager.

#### Responsibilities:

- Ensure appropriate staffing is available
- Mentor and train new employee
- Manages all weight measurements and maintains the METRC database for all trim operations
- Delivers product to cure room for drying/curing
- Removes product for cure room for final trim
- Returns product to cure for testing, packaging and shipment

#### Qualifications/Experience:

- Experience in trim procedures
- Able to work with a wide range of employee, mostly inexperienced, some of whom may never



have had a job before as well as people with work experience but not with cannabis

- Manage labor demands to keep trim on pace with harvested plants
- Capable of recognizing quality issues in harvested product
- Ability to communicate up and down through the organization
- Able to be licensed as a Marijuana Establishment Agent
- High School diploma or GED

Performance Metrics:

- Weight of product categories processed and delivered each month
- Number and length of delays in harvest caused by delays in trim

**Cultivator / Trim Technicians.**

Trim Technicians are responsible for post-harvest trimming of marijuana plants, both mechanical and manual. Trim Technicians report directly to the Production Manager.

Responsibilities:

- Performing daily tasks assigned by the Production Manager and/or Director of Cultivation;
- Assisting in the harvest of marijuana;
- Trimming marijuana plants;
- Maintaining a sterile environment in the Trim Room;
- Cleaning and maintaining scissors and trim machines; and
- Such other duties may be assigned by the Production Manager and/or Director of Cultivation.

Qualifications/Experience:

- Experience in cannabis cultivation or other commercial/industrial agriculture cultivation preferred
- Familiarity with the different strains of cannabis preferred
- Must be punctual and detail oriented
- Able to stand for 8 – 10 hours per day
- Able to sit for trim work 8 – 10 hours per day
- Able to bend, turn, lift and reach repeatedly
- Able to lift heavy loads up to 30 lbs, frequently
- Able maintain a clean and orderly environment
- Able to work quickly and efficiently and in a team environment.
- Able to perform strenuous manual tasks
- Able to meet production quotas and deadlines
- Have reliable transportation
- Able to be licensed as a Marijuana Establishment Agent

**Product Manufacturing Manager.**

The Product Manufacturing Manager is responsible for production of all concentrates and marijuana products created by the Company. The Product Manufacturing Manager reports to the General Manager.

Responsibilities:

- Managing inventory and par-levels of all concentrate and marijuana products, including

integration into the POS;

- Creating raw concentrate;
- Creating distilled, high-purity concentrate for use in marijuana products and vaporizer cartridges;
- Creating all marijuana products;
- Organizing extraction schedule based on availability of cultivated material;
- Maintaining a rigid cleaning schedule that all lab agents must adhere to;
- Ensuring safety pursuant to established safety protocols;
- Coordinating facility repairs and maintenance;
- Supervising and training agents in an ongoing manner;
- Providing mandatory training for new agents; and
- Such other duties as may be assigned by the Chief Operating Officer.

### **Cure - Extract / Packing Lead.**

The Cure - Extract/Packaging Lead supports the Production Manager during day-to-day operations and ensures timely completion of extraction and packaging.

#### Responsibilities:

- Ensure appropriate staffing is available
- Mentor and train new employees
- Maintain strict access control to cure room and the inventories
- Accurately maintain the METRC database on a daily basis in accordance with Cannabis regulations
- Manage the drying, curing and grinding of cultivated material in preparation for extraction;
- Package product for shipment
  - Send samples to labs for testing, dispose of samples when results are returned
  - Communicate with other team leads and the Director of Operations
  - Immediately alert the Director of Operations
  - Ownership of problems and issues
- Unpacking and cleaning the extractor;
  - Cleaning and sanitization of all lab glassware;
  - Cleaning and sanitization of all kitchen cookware and utensils;
  - Cleaning and sanitization of the distillation still;
  - Routine scheduled maintenance of all equipment;
- Assisting with packaging of all concentrate and marijuana products to be sold; and
- Such other duties as may be assigned by the Product Manufacturing Manager.

#### Qualifications/Experience:

- Organization
- Computer literacy
- Inventory management experience a plus
- Familiarity with METRC inventory tracking regulations a plus

#### Performance metrics:

- Accuracy of METRC database in cure
- Weight of product received/disposed/cured/packaged/shipped
- Weight of product sent to extraction

### **Extract / Packaging Technician.**

#### Responsibilities:

- Drying and grinding cultivated material in preparation for extraction;
- Unpacking and cleaning the extractor;
- Cleaning and sanitization of all lab glassware;
- Cleaning and sanitization of all kitchen cookware and utensils;
- Cleaning and sanitization of the distillation still;
- Routine scheduled maintenance of all equipment;
- Assisting with packaging of all concentrate and marijuana products to be sold; and
- Such other duties as may be assigned by the Product Manufacturing Manager.

#### Qualifications / Experience:

- Must be familiar with the different strains of cannabis
- Must be punctual and detail oriented
- Able to stand during harvest and cleaning work for 8 – 10 hours per day
- Able to sit for trim work 8 – 10 hours per day
- Able to bend, turn, lift and reach repeatedly
- Able to lift heavy loads up to 30lbs, frequently
- Able maintain a clean and orderly environment
- Able to work quickly and efficiently and in a team environment.
- Able to perform strenuous manual tasks
- Able to meet production quotas and deadlines
- Have reliable transportation
- Able to be licensed as a Marijuana Establishment Agent

### **Post-Harvest Technician.**

Post-Harvest Technicians report to their respective managers in Cultivation and perform hand and occasional machine trimming of cannabis plants. Post-Harvest Technicians also assist in general manual labor throughout the facility when and as requested. Hand trim leaves from cannabis plants using shears or scissors before or after the drying process.

#### Responsibilities:

- Operate a trimming machine to remove leaves from cannabis plants
- Cut down and harvest cannabis plants
- Hang and defoliate all plants in the flower room
- Each Post-Harvest Technician is required to defoliate a set number of plants per day as determined by the Company's operational needs
- Clean and sanitize the harvested rooms, prepare rooms for re-set, remove cannabis waste and cubes, clean tables, walls, and all other equipment used for harvest
- Cleaning and sanitation of harvested rooms includes the use of vacuums, scrub brushes, and flushing irrigation lines at sink

- Cut plants into branch form and inspect plants for seed and/or mold
- Clean bins, scissors, and all other equipment involved in trimming
- Maintain sanitation standards
- Assist and perform manual labor in other departments as and when requested by the supervisor (clean, empty garbage, etc.)
- Comply with all company policies and state and local rules and regulations

Qualifications / Experience:

- Must be familiar with the different strains of cannabis
- Must be punctual and detail oriented
- Able to stand during harvest and cleaning work for 8 – 10 hours per day
- Able to sit for trim work 8 – 10 hours per day
- Able to bend, turn, lift and reach repeatedly
- Able to lift heavy loads up to 30lbs, frequently
- Able maintain a clean and orderly environment
- Able to work quickly and efficiently and in a team environment.
- Able to perform strenuous manual tasks
- Able to meet production quotas and deadlines
- Have reliable transportation
- Able to be licensed as a Marijuana Establishment

**Administrative Assistant**

The Administrative Assistant provides administrative support to the Executive Team (CEO, CFO, and COO). The Administrative Assistant reports to the COO.

Responsibilities:

- Provides administrative support to ensure efficient operation of the office
- Answers phone calls, schedules meetings and supports visitors.
- Carries out administrative duties such as filing, typing, copying, binding, scanning etc.
- Completes operational requirements by scheduling and assigning administrative projects and expediting work results.
- Makes travel arrangements for the Executive Team such as booking flights, cars, and hotel or restaurant reservations.
- Exhibits polite and professional communication via phone, e-mail, and mail.
- Supports the Executive Team by performing tasks related to organization and strong communication.
- Develops administrative staff by providing information, educational opportunities, and experiential growth opportunities.
- Ensures operation of equipment by completing preventive maintenance requirements, calling for repairs, maintaining equipment inventories and evaluating new equipment and techniques.
- Provides information by answering questions and requests.
- Maintains supplies inventory by checking stock to determine inventory level, anticipating needed supplies, placing and expediting orders for supplies.
- Contributes to team effort by accomplishing related results as needed.

Qualifications/Experience:

- High school diploma or equivalent education required
- 3 years of administrative assistant experience
- Knowledge of appropriate software including: Microsoft Word, Excel, and Outlook, Microsoft PowerPoint and Adobe Acrobat
- Valid driver's license and current automobile insurance
- Reporting Skills
- Administrative Writing Skills
- Managing Processes
- Organization
- Analyzing Information
- Professionalism
- Problem Solving
- Supply Management
- Inventory Control
- Effective Verbal Communication

**Bookkeeper**

The Bookkeeper performs payroll functions and assists the CFO in maintaining financial records.

Responsibilities:

- Perform payroll functions in an accurate and timely manner, and submit payroll taxes
- Conduct reconciliation of all accounts on an as needed basis
- Maintain and balance the general ledger in an accurate, complete, and up-to-date manner
- Perform all activities related to the accounts payable function including reviewing, coding, and processing payments
- Perform account receivable functions including invoicing, deposits, collections, and revenue recognition
- Prepare financial reports through collection, analysis, and summarization of data
- Interpret and apply accounting policies, rules, and regulations to all work in order to ensure compliance with applicable standards

Qualifications/Experience:

- Bachelor's degree in Accounting, Finance, or related field
- 3-5 years relevant experience working in accounting and bookkeeping
- Thorough knowledge and understanding of GAAP
- Strong verbal and written communication skills
- Proficient skills in QuickBooks and Microsoft Excel
- Experience with accounts payable, accounts receivable, payroll, and general ledger
- High degree of accuracy and attention to detail

**Custodian**

Custodians clean the facility and perform routine maintenance. Custodians report to the Director of Cultivation.

### Responsibilities:

- Maintain floors in a clean state by sweeping, scrubbing, mopping, and waxing them
- Empty and clean trash receptacles and collect recycling
- Clean, sanitize, and supply bathrooms
- Clean and service custodial equipment as needed
- Perform minor repairs on furniture, buildings, and equipment
- Report any safety, sanitary, or fire hazards to the appropriate department
- Lock and unlock windows, doors, and gates
- Ensure grounds areas are clean and orderly

### Qualifications/Experience:

- High school diploma or general education degree (GED) required
- Able to be a Registered Marijuana Establishment Agent
- Previous custodial and grounds experience preferred
- Ability to understand and follow verbal and written instructions
- Ability to lift and carry up to 50 pounds
- Comfortable squatting, twisting, bending, and kneeling while using tools and performing maintenance tasks
- Possess working knowledge of the methods, technique, and materials used in custodial work
- Ability to climb ladders and work from heights
- Familiar with operating, caring for, and storing custodial equipment and supplies

### **Hiring and Recruitment**

The Director of Human Resources, or in lieu thereof, the Chief Operating Officer, will engage the Executive Team and department directors and / or managers on a regular basis to determine if vacancies are anticipated and whether specific positions need to be created in response to the Company's operational needs.

### **Business Hours**

Monday: 8:00 a.m. – 8:00 p.m.

Tuesday: 8:00 a.m. – 8:00 p.m.

Wednesday: 8:00 a.m. – 8:00 p.m.

Thursday: 8:00 a.m. – 8:00 p.m.

Friday: 8:00 a.m. – 8:00 p.m.

Saturday: 8:00 a.m. – 8:00 p.m.

Sunday: 8:00 a.m. – 8:00 p.m.

### **Overview of Personnel Policies and Procedures**

The Company strives to recognize and reward the unique contributions of each employee. The Company will endeavor to lead the Massachusetts cannabis industry in workplace satisfaction and year over year employee retention by offering highly competitive wage and benefits packages and developing a culture that values a proper work-life balance, boasts a transparent and accessible Executive Team, and fosters a work ethic that supports diversity and equitable practices.

The Company will maintain written personnel policies which comply with and be administered in accordance with all applicable laws. A summary of the Company's core personnel policies, include:

- Anti-discrimination and Anti-Harassment Policy
- Equal Employment Opportunity Commission (EEOC) Policy
- Violence and Weapons in the Workplace Policy
- The Company's Diversity Plan and Community Initiatives
- The Company's Plan to Positively Impact Areas of Disproportionate Impact
- Background Checks and Reference Policy
- Mandatory reporting of criminal convictions policy (and termination if necessary)
- State and Federal Family Leave Act
- Workplace Safety Laws – OSHA Compliance
- Workers' Compensation
- State and Federal Minimum Wage Requirements
- Confidentiality
- Employee Retirement Income Security Act (ERISA)
- Disability and Religious Accommodations
- Maintenance of personnel files
- Privacy
- Email policy
- Leaves of absence, holidays, sick time, personal time, bereavement leave, jury duty military leaves of absence
- Working hours and overtime
- Pay rates, overtime, bonuses performance reviews
- Disciplinary procedures
- Veteran preferences
- Drug testing
- Smoke Free and Drug Free Workplace
- Whistleblower Policy
- Code of Ethics

#### **Designated Outside Counsel**

The Company may retain counsel specializing in employment law to assist the Chief Operating Officer and / or Director of Human Resources with employment and labor related issues and questions.

#### **At-Will Employment**

All employment at the Company is at-will. This means that either the Company or the employee may terminate the employment relationship at any time with or without advance notice and with or without a reason.

#### **Equal Employment Opportunity Policy.**

The Company is an equal opportunity employer. This means the Company will not discriminate, and will take affirmative actions to prevent discrimination, against any employee or prospective employee on the basis of race, color, hair style, religion, national origin, ancestry, sex / gender, gender identity, age (age 40 and older), handicap (disability), sexual orientation, veterans status, genetics, participation in discrimination complaint-related activities / protected activities, association with persons of any

protected class, and any other class protected by applicable law, with regards to the terms, conditions, and benefits of employment including by way of example, hiring, firing, recruitment, compensation, promotions, and disciplinary action.

All visitors to the Company's facility, and the vendors and suppliers the Company contracts with, are expected to support the Company's equal employment opportunity policy, and to take all steps necessary to maintain a workplace free from unlawful discrimination and harassment and to accommodate others in line with this policy to the fullest extent required by law.

### **Religious Accommodation**

The Company will make reasonable accommodations for employees' observance of religious holidays and practices unless the accommodation would cause an undue hardship on the Company's operations. If an employee desires religious accommodation, they must make verbal or written request to their manager as far in advance as possible. Managers are expected to strive to find co-workers who can assist in the accommodation (e.g. trade shifts) and cooperate with the Company in seeking and evaluating alternatives. All requests for a religious accommodation shall be communicated by the employee's manager to the Director of Human Resources or Chief Operating Officer, who will assist in the accommodation process.

### **Disability / Handicap Accommodation**

The Company will provide reasonable accommodations to qualified individuals with disabilities to the fullest extent required by law. The Company may require medical certification of both the disability and the need for accommodation. The Company can only seek to accommodate the known physical or mental limitations of an otherwise qualified individual. Therefore, it is the employee's (and / or applicant's) responsibility to come forward if they are in need of any accommodations. If an employee desires a reasonable accommodation, they must make a verbal or written request to their manager, who will then work with the Director of Human Resources or Chief Operating Officer to determine a reasonable accommodation. These individuals will engage in an interactive process with the employee to identify possible accommodations, if any, to help the applicant or employee perform the job. Employees should also review their rights under the law at <https://www.mass.gov/service/details/about-employment-rights>.

### **Anti-Discrimination and Anti-Harassment Policy**

The Company believes that all employees should be able to enjoy a work environment free of unlawful discrimination and harassment.

This policy refers to, but is not limited to, harassment or discrimination based on an employee's: (1) race, (2) sex / gender, (3) gender identity, (4) age, (5) color, (6) national origin, (7) ancestry, (8) religion, (9) handicap (disability), (10) marital status, (11) sexual orientation, (12) veteran status, (13) genetics (14) participation in discrimination complaint related activities / engaging in protected activities, or (15) association with persons of a protected class, and such other protected classes as may be adopted by the Commonwealth of Massachusetts or Federal law, from time to time, that may be applicable to the Company.



Prohibited conduct includes both verbal and non-verbal behavior. Examples of prohibited behavior includes (i) the display or circulation of written or electronic materials, objects, pictures or cartoons degrading an employee or people based on a characteristic listed in 1-15 above; and (ii) verbal slurs or other derogatory insults or comments, jokes or innuendos or demeaning gestures directed at an employee or people based on a characteristic listed in 1-15 above.

### **Freedom from Sexual Harassment**

It is the goal of the Company to promote a workplace that is free of sexual harassment. Sexual harassment of employees occurring in the workplace or in other settings in which employees may find themselves in connection with their employment is unlawful and will not be tolerated by this organization.

In Massachusetts, the legal definition for sexual harassment is this: "sexual harassment" means sexual advances, requests for sexual favors, and verbal or physical conduct of a sexual nature when:

- (a) submission to or rejection of such advances, requests or conduct is made either explicitly or implicitly a term or condition of employment or as a basis for employment decisions; or,
- (b) such advances, requests or conduct have the purpose or effect of unreasonably interfering with an individual's work performance by creating an intimidating, hostile, humiliating or sexually offensive work environment.

Under these definitions, direct or implied requests by a supervisor for sexual favors in exchange for actual or promised job benefits such as favorable reviews, salary increases, promotions, increased benefits, or continued employment constitutes sexual harassment.

The legal definition of sexual harassment is broad and in addition to the above examples, other sexually oriented conduct, whether it is intended or not, that is unwelcome and has the effect of creating a workplace environment that is hostile, offensive, intimidating, or humiliating to male or female workers may also constitute sexual harassment.

While it is not possible to list all those additional circumstances that may constitute sexual harassment, the following are some examples of conduct which if unwelcome, may constitute sexual harassment depending upon the totality of the circumstances including the severity of the conduct and its pervasiveness:

- Unwelcome sexual advances -- whether they involve physical touching or not;
- Sexual epithets, jokes, written or oral references to sexual conduct, gossip regarding one's sex life; comment on an individual's body, comment about an individual's sexual activity, deficiencies, or prowess;
- Displaying sexually suggestive objects, pictures, cartoons;
- Unwelcome leering, whistling, brushing against the body, sexual gestures, suggestive or insulting comments;
- Inquiries into one's sexual experiences; and,
- Discussion of one's sexual activities.

### **Complaints of Harassment (Sexual or otherwise)**

Because the Company takes allegations of harassment and / or discrimination (sexual or otherwise) seriously, we will respond promptly to all complaints of harassment or discrimination and where it is

determined that such inappropriate conduct has occurred, we will act promptly to eliminate the conduct and impose such corrective action as is necessary, including disciplinary action where appropriate.

If any employee believes that such employee has been subjected to harassment or discrimination by another employee, manager, customer, visitor, business partner, vendor or supplier, the employee has the right to file a complaint with the Company. This may be done in writing or orally.

If you would like to file a complaint of harassment or discrimination (sexual or otherwise) you may do so by contacting Karen Talton, COO, [ADDRESS], [PHONE NUMBER], [email address], or \_\_\_\_\_, [ADDRESS], [PHONE NUMBER], [Email address]. These persons are also available to discuss any concerns you may have and to provide information to you about our policy against harassment and discrimination and our complaint process.

### **Harassment Investigation**

When we receive a complaint, we will promptly investigate the allegation in a fair and expeditious manner. The investigation will be conducted in such a way as to maintain confidentiality to the extent practicable under the circumstances. Our investigation will include a private interview with the person filing the complaint and with witnesses. We will also interview the person alleged to have committed the harassment and / or discrimination. When we have completed our investigation, we will, to the extent appropriate, inform the person filing the complaint and the person alleged to have committed the conduct of the results of that investigation.

If it is determined that inappropriate conduct has occurred, we will act promptly to eliminate the offending conduct, and where it is appropriate, we will also impose disciplinary action.

### **Disciplinary Action**

If it is determined that inappropriate conduct has been committed by one of our employees, customers, business partners, visitors, vendors or suppliers, we will take such action as is appropriate under the circumstances. Such action may range from counseling to termination from employment or the business relationship, as applicable, and may include such other forms of disciplinary action as we deem appropriate under the circumstances.

Please note that while this policy sets forth our goals of promoting a workplace that is free of harassment and discrimination, our policy is not designed or intended to limit our authority to discipline or take remedial action for workplace conduct which we deem unacceptable, regardless of whether that conduct satisfies the definitions of harassment above.

### **Retaliation**

All employees should take special note that retaliation against an individual who has complained about harassment or discrimination, and retaliation against individuals for cooperating with an investigation of a harassment or discrimination complaint is unlawful and will not be tolerated by the Company.

### **State and Federal Remedies**

In addition to the above, if you believe you have been subjected to harassment or discrimination, you may file a formal complaint with either or both of the government agencies set forth below. Using our

complaint process does not prohibit you from filing a complaint with these agencies. Each of the agencies has a short time period for filing a claim (EEOC - 300 days; MCAD - 300 days).

1. The United States Equal Employment Opportunity Commission ("EEOC") One Congress Street, 10th Floor Boston, MA 02114, (617) 565-3200.
2. The Massachusetts Commission Against Discrimination ("MCAD") Boston Office: One Ashburton Place, Rm. 601, Boston, MA 02108, (617) 994-6000. Springfield Office: 424 Dwight Street, Rm. 220, Springfield, MA 01103, (413) 739-2145.

### **Violence and Weapons in the Workplace Policy.**

Everybody deserves a safe place to work. Any and all acts of violence in the workplace will result in immediate termination of the Company's relationship with the aggressor, whether the aggressor is employee, a director, manager, customer, visitor, business partner, vendor or supplier. Law enforcement will be contacted immediately in the case of a violence or threat of violence. Weapons are not permitted on site by employees, customers, customer, visitor, business partner, vendor or supplier parties. Any employee carrying or storing a weapon on the Company's premises will be terminated immediately; any non-employee will be asked to leave the property, and, if appropriate law enforcement will be notified.

### **Safety**

The Company promotes workplace safety consistent with the standards set forth under the Occupational Safety and Health Act of 1970, 29 U.S.C. §651, et seq., including the general duty clause under 29 U.S.C. §654. The Company:

1. shall furnish to each of its employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause death or serious physical harm to its employees; and
2. shall comply with occupational safety and health standards promulgated under this act. Each employee shall comply with occupational safety and health standards and all rules, regulations, and orders issued pursuant to 29 U.S.C. §651, et seq., which are applicable to the employee's own actions and conduct. All current and updated regulations and references at 29 CFR Parts 1903, 1904, 1910, 1915, 1917, 1918, 1926, 1928, and 1977 are incorporated by reference, and applicable to all places of employment covered by 935 CMR 500.000.

### **Workers' Compensation**

Workers' Compensation is a "no-fault" system that provides compensation for medical expenses and wage losses when an employee sustains an on-the-job injury or illness. The Company pays the entire cost of workers' compensation insurance.

If any employee sustains or witnesses a job-related injury or illness it is important to notify the Human Resources Manager immediately.

### **Drug-Free and Alcohol-Free Workplace**

The Company forbids the unlawful use, possession, purchase, sale, distribution, or being under the

influence of any illegal drug and/or the misuse of legal drugs or controlled substances, or alcohol, while on the Company's premises or while performing services for the Company in compliance with 935 CMR 500.105(1): Alcohol, Smoke and Drug-Free Workplace. This includes being under the influence of, or using, marijuana on the Company's property or Company time.

To ensure compliance with this policy, drug testing may be conducted upon (i) a reasonable suspicion of an employee's use of an illegal drug while performing work duties; or (ii) where an employee manifests specific, articulable symptoms of drug impairment, while working that decreases or lessens the employee's performance of the duties or tasks of the employee's job position.

Any employee violating this policy is subject to discipline, up to and including termination.

### **Smoking-Free and Vape-Free Workplace**

Smoking and vaping are not allowed in the Company's buildings or work areas at any time in order to stay in compliance with 935 CMR 500.105(1): Alcohol, Smoke and Drug-Free Workplace. "Smoking" includes the use of any tobacco products (including chewing tobacco), electronic smoking devices, and e-cigarettes.

### **Workplace Attire**

The required attire for registered agents at the Company varies based upon required duties. During the onboarding process, the trainer will go over the workplace attire specific to each role.

### **Advancement**

The organization will be structured in a relatively flat manner, with promotional opportunities within each department. Participation in training and bi-annual performance evaluations will be critical for any promotions or pay increases.

### **Investigations**

The Company will set forth policies and procedures to investigate any complaints or concerns identified or raised internally or externally in order to stay in compliance with 935 CMR 500.000 et seq.

### **Job Classifications**

All positions are categorized by rank and department. The Executive Team oversees the overall success of the mission of the company; the CEO is responsible for implementation of the mission and the executive management team as a whole is responsible for ensuring that all departments are properly executing their functions and responsibilities. Job classification consists of three rank tiers: Executive Management, Management, and Non-Management Employee.

### **Work Schedules**

Work schedules will be either part-time, full-time, hourly or salaried, depending on the specific position. Schedules will be set according to the needs of each department as determined by the department manager and the executive manager they report to. It is the department manager's responsibility to develop and implement a work schedule that provides necessary duty and personnel coverage but does not exceed what is required for full implementation of operations. It is also the department manager's

responsibility to ensure that adequate coverage occurs on a daily basis and does not lead to unnecessary utilization of overtime coverage.

### **Mandatory Meetings**

There will be a mandatory, reoccurring company-wide meeting on a quarterly basis. All personnel will be notified if their attendance is required. Each department will have a mandatory weekly meeting scheduled by the department manager. The department managers will provide agendas for all meetings and will report to their executive manager.

### **Breaks**

Daily breaks, including lunch breaks, will comply with the laws of the Commonwealth.

### **Performance Reviews**

Performance reviews will be conducted by executive or department managers. Reviews will be conducted at three-month for new employees during the first year and annually thereafter. A written synopsis must be provided to, and signed by, the employee under review. Reviews must be retained in each employee's personnel record. Performance reviews must take into account positive performance factors and areas requiring improvement. Scoring systems may be utilized to help reflect an employee's overall performance.

### **Leave Policies**

Leave policies will be structured to comply with applicable state and federal statutes.

- Vacation. All full-time employees will receive 80 hours of paid vacation per year. Leave must be requested at least two weeks in advance and approved by the employee's department manager.
- Sick Time. The Company will comply with the Massachusetts Earned Sick Leave Act.
- Holidays. The Company will determine which holidays will be observed. The Company anticipates observing the following holidays:
  - New Year's Day
  - Martin Luther King Day
  - Presidents' Day
  - Memorial Day
  - Independence Day
  - Labor Day
  - Thanksgiving
  - Christmas Day

**Parental Leave.** The Company's parental leave policy will be established and maintained in accordance with the Massachusetts Parental Leave Act.

### **Whistleblower Policy**

The Company requires its directors, officers, employees, contractors and representatives to observe the highest standards of business and personal ethics in the conduct of their duties and responsibilities. All employees and representatives of the Company must practice honesty and integrity in fulfilling their responsibilities to the Company and in complying with all applicable laws and regulations.

- Purpose. This Whistleblower Policy is intended to encourage and enable employees and representatives of the Company to bring forward concerns regarding suspected inappropriate, unlawful or unethical conduct so that the Company can investigate, address and correct any such inappropriate conduct and actions. It is the responsibility of all board members, officers, employees, contractors and representatives of the Company to report to the Human Resources Department any concerns about suspected violations of the Company's Code of Ethics / Conflicts of Interest Policy or any local, state or federal law or regulation applicable to the Company's business and operations.
- No Retaliation. No individual who makes a good faith report under this Whistleblower Policy or who cooperates in an investigation shall be subject to harassment, retaliation or adverse employment action as a result of making such report or participating in an investigation. Any board member, officer, employee, contractor or representative of the Company who retaliates against an individual who has reported, in good faith, a suspected violation of the Company's Code of Ethics / Conflicts of Interest Policy or applicable law shall be subject to discipline up to and including termination of employment or other relationship with the Company. Any individual who believes that they have been subjected to any form of retaliation as a result of making a good faith report under this Whistleblower Policy should immediately report the retaliation to the Human Resources Department.
- Reporting Procedure. The Company fosters an open-door policy. To this end, we always recommend and suggest that our employees first speak with and share any questions, concerns, suggestions or complaints with the employee's direct supervisor or manager. However, if an employee is not comfortable speaking with the employee's supervisor or manager or the employee is not satisfied with the supervisor's or manager's response, the employee is encouraged to speak with the Human Resources Manager. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations to the Company's Human Resources Department.
- Investigation Process. The Human Resources Manager has the responsibility, with the Company's Compliance Officer and legal counsel, to conduct an investigation into all reports of a suspected violation of the Company's Code of Ethics / Conflicts of Interest Policy or applicable law. Appropriate corrective action will be taken by the Company as warranted by the investigation. The Human Resources Manager will advise the Chief Executive Officer and the Chair of the Board of Directors of all complaints, the status of the investigation and the resolution. The Company will, to the extent practicable, notify the person who submitted a complaint of receipt of the Complaint and if appropriate for the circumstance of the outcome of the investigation.
- Confidentiality. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.
- Statutory Reference. This policy is intended to comply with 935 CMR 500.105(9)(d)(4)(a), as well as other applicable local, state and federal law. It may be amended from time to time in the Company's discretion and to remain in compliance with the foregoing laws.

## Code of Ethics/Conflict of Interest Policy

The Company is committed to achieving the highest standards of professionalism and ethical conduct in its operations and activities. To this end, the Company expects its employees and representatives to conduct their activities according to the highest ethical standards of conduct and to comply with all applicable laws. This policy is intended to increase awareness of potential conflicts of interest and establish a procedure for reporting them.

- Conflict of Interest. Employees should always act in the best interest of the Company and not permit outside interests to interfere with their job duties. The Company prohibits all employees from using their position with the Company or the Company's relationship with its customers, vendors, suppliers, contractors and investors for private gain or to obtain benefits for themselves or members of their families. For purposes of this policy, a potential conflict of interest occurs when an employee's outside interests, for example, financial or personal interests, interfere with the Company's interests or the employee's work-related duties. For example, a conflict of interest can occur when an employee is in a position to influence a decision that may result in a personal gain for the employee or the employee's family member as a result of the Company's business dealings. If you have a question about whether a situation is a potential conflict of interest, please contact the Human Resources Department.
- Favors and Gifts. Business decisions should be made in the best interests of the Company. The Company prohibits employees from seeking or accepting any gifts, favors, entertainment, payment or loans for themselves or their family members from any customer, vendor, supplier, contractor, investor or other party doing business with the Company, except for gifts of less than \$25 or tickets to an event if prior approval is obtained from the Human Resources Department. Cash should never be accepted. If an employee violates this policy, the Company will take prompt corrective action, including discipline, up to and including termination of employment. Employees who wish to provide a gift, tickets or entertainment to potential or actual customers, vendors, suppliers, contractors, or investors should obtain prior written approval from the Human Resources Department. **Under no circumstance may a gift, favor, tickets, entertainment, payment, loan or contractual arrangement be made to a local, state or government official. If a local, state or government official (or a family member, parent, spouse, child or other known relative) asks an employee to make a gift, favor, tickets, entertainment, payment, loan to or contractual arrangement with the official or any other person or organization, the request must be immediately reported to the Human Resources Department.**
- Reporting Procedure. If you become aware of any potential conflict of interest or ethical concern whether involving you or another employee, you must promptly speak to, write or otherwise contact the Human Resources Department as soon as possible. You should be as detailed as possible. The Company will directly and thoroughly investigate all concerns regarding conflicts of interest and will determine whether a conflict of interest exists and what action should be taken.
- No Retaliation. The Company prohibits any form of discipline, reprisal, intimidation or retaliation for reporting a potential conflict of interest or violation of this policy or cooperating in related investigations.

- Administration of this Policy. The Human Resources Department is responsible for the administration of this policy. If you have any questions regarding this policy or if you have questions about conflicts of interest that are not addressed in this policy, please contact the Human Resources Department.
- Conduct Not Prohibited by this Policy. This policy is not intended to restrict communications or actions protected or required by state or federal law.
- Statutory Reference. This policy is intended to comply with 935 CMR 500.105(9)(d)(4)(b), as well as other applicable local, state and federal law. It may be amended from time to time in the Company's discretion and to remain in compliance with the foregoing laws.

### **Discipline Policy.**

The Company will use progressive discipline designed to provide a structured corrective action process to improve and prevent a recurrence of undesirable behavior and/or performance issues. Generally, the Company will provide i) counseling or additional training or coaching first, followed by 2) a written warning, 3) a final written warning, and 4) termination. Written warnings may be accompanied by suspension.

The Company reserves the right to discipline progressive steps depending upon the facts of each situation and the nature of the offense. The level of disciplinary intervention may also vary. Some of the factors that will be considered are whether the offense is repeated despite coaching, counseling, and/or training; the employee's work record; and the impact the employee's performance, conduct and/or attendance issues have on the Company's operations.

Nothing in Company's Discipline Policy provides any contractual rights regarding employee discipline or counseling nor should anything in this policy be read or construed as modifying or altering the employment-at-will relationship between the Company and its employees.

### **Performance and Conduct Issues Not Subject to Progressive Discipline**

Behavior that is illegal is not subject to progressive discipline and may be reported to local law enforcement. Violation of the 935 CMR 500 or any rules or regulations issued by the CCC, theft, intoxication at work, fighting and other acts of violence are also not subject to progressive discipline and may be grounds for immediate termination.

Any Agent who has diverted Marijuana, engaged in unsafe practices, or been convicted or entered a guilty plea for a felony charge of distribution of a drug to a minor shall be immediately dismissed pursuant to 935 CMR 500.105(1).

### **Documentation**

Any employee subject to progressive discipline will be provided with copies of all relevant documentation related to the progressive discipline process, including all PIPs. The employee will be asked to sign copies of this documentation attesting to their receipt and understanding of the corrective action outlined in these documents. Copies of these documents will be placed in the employee's personnel record.



## Termination of Employment

Termination from employment can occur for several different reasons. Employment may end as a result of resignation, retirement, release (end of season or assignment), reduction in workforce, or termination. When an employee separates from the Company, the employee's supervisor must contact the Human Resources Manager to schedule an exit interview, which will typically take place on the employee's last workday.

- **Return of Property.** The separating employee must return all company property at the time of separation, including but not limited to, uniforms, cell phones, keys, computers, and identification cards. Failure to return certain items may result in deductions from the employee's final paycheck.
- **Termination of Benefits.** A benefit will be terminated in accordance with the terms of the specific benefit plan. Accrued, unused vacation leave will be paid in the last paycheck.
- **Health Insurance.** Health insurance terminates on the last day of the month of employment, unless the employee requests immediate termination of benefits. Information about the Consolidated Omnibus Budget Reconciliation Act (COBRA) continued health coverage will be provided. Employees will be required to pay their share of the dependent health and dental premiums through the end of the month.
- **Unemployment Compensation.** All employees will be provided with a brochure on how to apply for unemployment compensation from the Massachusetts Division of Unemployment Compensation.

## Compensation

The Company strives to offer competitive and fair compensation. The Company intends to use a compensation system that will determine the current low-mid-high market value of a position based on the skills, knowledge, and behaviors required of a qualified incumbent. The system used for determining compensation will be objective and non-discriminatory in theory, application and practice.

- **Selection Criteria**
  - Compensation bands will be developed using local, national, and industry specific survey data.
  - The market data will primarily include marijuana-related businesses and will include survey data for more specialized positions and will address significant market differences due to geographical location.
  - The system will evaluate external equity, which is the relative marketplace job worth of every marijuana industry job directly comparable to similar jobs at the Company, factored for general economic variances, and adjusted to reflect the local economic marketplace.
  - The system will evaluate internal equity, which is the relative worth of each job in the organization when comparing the required level of job competencies, formal training and experience, responsibility and accountability of one job to another, and arranging

all jobs in a formal job-grading structure.

- Professional support and consultation will be available to evaluate the compensation system and provide on-going assistance in the administration of the program.
- The compensation system must be flexible enough to ensure that the company is able to recruit and retain a qualified workforce, while providing the structure necessary to effectively manage the overall compensation program.

- **Responsibilities**

- The Executive Team will give final approval for the compensation system used and all job bands.
- The Executive Team will review and approve the compensation system, job band, and job descriptions on a yearly basis.
- The Executive Team as part of the annual budgeting process, will review and approve, as appropriate, funds to be allocated for total compensation, which would include base salaries, bonuses, variable based or incentive-based pay, and all other related expenses, including benefit plans as part of the annual budgeting process.

## Ahava, LLC – Recordkeeping Plan

### PURPOSE

Ahava, LLC (the “Company” or “Ahava”) has prepared this Recordkeeping Plan (the “Plan”) in compliance with 935 CMR 500.000 (the “Regulations”). This document provides a summary of the Plan and includes details regarding the Company’s adoption of specific recordkeeping policies and procedures once licensed by the Massachusetts Cannabis Control Commission (the “CCC” or the “Commission”).

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by the Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal Street, Holyoke, MA 01040 (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any term not defined in this Plan shall have the meaning given such term in the Regulations.

### SUMMARY

The Company will maintain all records required to be maintained under the Regulations, including, specifically, but not limited to 935 CMR 500.101(1) and (2) and 935 CMR 500.105(9), and make such records available to the Commission or other regulatory agency having authority and jurisdiction over the Company’s operations, upon request.

### TYPES OF RECORDS TO BE MAINTAINED

The Company will maintain and preserve all records required in any section of 935 CMR 500.000, including specifically, but without limitation:

- **Financial Records.** The Company maintains a separate policy titled Plan for Maintaining Financial Records, please reference that Plan for specific details. In summary, the Company’s Financial Records will be maintained in accordance with generally accepted accounting principles (“GAAP”) and may be kept electronically or in hard copy (preferably electronic). Financial business records will include, at a minimum, but are not limited to: assets and liabilities, monetary transactions, books of accounts, sales records, salaries and wages, and such other records outlined in 935 CMR 500.105 (9)(e).
- **Personnel Records.** The Company will maintain each employee’s personnel record in accordance with M.G.L. c. 149, § 52C and 935 CMR 500.105(9)(d). Personnel records may be kept electronically or in hard copy. Personnel records shall be stored in a locked file in the Director of Human Resources office. Personnel records for each Marijuana Establishment Agent shall contain all information required by 935 CMR 500.105(9)(d) including, but not limited to:
  - All materials submitted to the Commission pursuant to 935 CMR 500.030(2);
  - Documentation of verification of references;
  - The job description or employment contract that includes duties, authority, responsibilities, qualifications and supervision;
  - Documentation of all required training, including training regarding privacy and confidentiality requirements, and the signed statement of the individual indicating the date, time, and place such individual received said training and the topics discussed, including the name and title of presenters;

- Documentation of periodic performance evaluations;
  - A record of any disciplinary action taken;
  - Notice of completed Responsible Vendor and eight-hour related duty training;
  - A staffing plan that demonstrates accessible business hours and safe cultivation conditions;
  - Personnel policies and procedures; and
  - All background check reports obtained in accordance with MGL c. 6 s. 172, 935 CMR 500.029, 935 CMR 500.030 and 803 CMR 2.00: Criminal Offender Record Information (CORI).
- **Training Records.**
    - **Responsible Vendor Training.** In accordance with 935 CMR 500.105(2), all Marijuana Establishment Agents and any other employee involved in the handling and sale of Marijuana for adult use will attend and complete a Responsible Vendor Training Program within 90 days of starting employment and annually thereafter. The Company will maintain records of responsible vendor training program compliance for four (4) years. Training records will include but are not limited to the scope of a training, and the names, signatures and titles of agents participating and instructing.
    - **Training on Company's Policies and Procedures.** Each employee shall receive training on the Company's policies and procedures regarding Energy Compliance, Cultivating, Quality Control and Testing, Methods Use to Produce Products, Types of Products Manufactured, Identifying Marks Used for Branding, Prevention of Diversion, Restricting Access to Age 21 and Older, Security Plan, Storage of Marijuana, Transportation of Marijuana, Personnel Policies, Qualifications and Training, Maintaining Financial Records, and Record Keeping Procedures, Ethics Policy, and Whistleblower Policy, as well as training specific to each employee's job duties to give the employee the knowledge necessary to comply with the applicable laws and succeed in their position. Training shall be specific and customized to each employee's job duties and description. The Company shall maintain records of such training for at least 12 months following the employee's termination of employment, or for such a longer period as may be required under M.G.L. c. 149, § 52C and 935 CMR 500.105(9)(d).
    - **Anti-Discrimination, Anti-Harassment and Diversity Training.** Each employee shall receive training on the Company's Anti-Discrimination and Anti-Harassment Policy and the Company's Diversity and Positive Impact Plans within ninety (90) days of employment and yearly, thereafter. The Company shall maintain records of such training for at least 12 months following the employee's termination of employment, or for such a longer period as may be required under M.G.L. c. 149, § 52C and 935 CMR 500.105(9)(d).
    - **Other Training (Non-Cannabis Related).** The Company may, from time to time, offer training in other areas relevant to its employees, or may send its employees to outside training to enhance compliance, the employee's personal and professional growth and the Company's operations. Completion of any such training by an employee shall be retained in the employee's personnel record as required by MGL M.G.L. c. 149, § 52C.
  - **Corporate Records.** The Chief Operating Officer and or the Director of Human Resources shall maintain and review yearly the following corporate records:
    - Insurance Coverages for the Company, including, but not limited to
      - Directors & Officers Policy

- Employer Professional Liability Policy
    - Product Liability Policy
    - General Liability Policy
    - Umbrella Policy
    - Workers Compensation Policy
  - Commission Required Records (not otherwise addressed in this Recordkeeping Plan), including:
    - Annual Agent Registration
    - Annual Marijuana Establishment Registration
  - Local Compliance Records (not otherwise addressed in this Recordkeeping Plan), including:
    - Certificate of Occupancy
    - Special Permits
    - Variances
    - Site Plan Approvals
    - As-Built Drawings
  - Corporate Governance Records, including:
    - Annual Reports
    - Secretary of State Filings
    - Operating Agreement
    - Consents of the Members and Managers
- **Contracts.** All contracts will be retained for a period of twenty (20) years following the termination or completion of the contract. Contracts may be maintained in electronic or hard copy format. The Company will create a database for storing and organizing all contracts.
- **Written Operating Procedures.** Written Operating Procedures as required by 935 CMR 500.105(1) may be kept in hard copy and electronic form. The Written Operating Procedures will be reviewed quarterly by each department head and updated if necessary. Superseded versions shall be retired and marked “superseded” and retained for at least two (2) years from the date such policy is superseded, unless otherwise required by the Commission. The Company’s written operating procedures will include, at the minimum, the following:
  - Security measures in compliance with 935 CMR 500.110;
  - Agent security policies, including personal safety and crime prevention techniques;
  - A description of the Company’s hours of operation and after-hours contact information, which will be provided to the Commission, made available to law enforcement officials upon request, and updated pursuant to 935 CMR 500.000;
  - Storage of marijuana in compliance with 935 CMR 500.105(11);
  - Description of the various strains of marijuana to be cultivated, processed or sold, as applicable;
  - Procedures to ensure accurate recordkeeping, including inventory protocols in compliance with 935 CMR 500.160;
  - Plans for quality control, including product testing for contaminants in compliance with 935 CMR 500.160;
  - A staffing plan and staffing records in compliance with 935 CMR 500.105(9);
  - Emergency procedures, including a disaster plan with procedures to be followed in case of fire or other emergencies;
  - Alcohol, smoke, and drug-free workplace policies;

- Whistleblower and Ethics Policies;
  - Policies to promote workplace safety consistent with OSHA and 935 CMR 500.105(1)(r)
  - A plan describing how confidential information will be maintained;
  - A policy for the immediate dismissal and reporting the local Police Department and Commission of any Marijuana Establishment Agent who has:
    - Diverted marijuana;
    - Engaged in unsafe practices with regard to the Company's operations; or
    - Is convicted or enters a guilty plea, plea of nolo contendere, or admission to sufficient facts of a felony drug offense involving distribution to a minor in the Commonwealth, or a like violation of the laws of another state, the United States or a foreign jurisdiction, or a military, territorial, or Native American tribal authority.
  - A list of all of the Company's executives, and members, if any, of the licensee which must be made available upon request by any individual. Pursuant to 935 CMR 500.105(1)(n) this requirement may be fulfilled by placing this information on the Company's website.
  - Policies and procedures for the handling of cash on the Company's premises including but not limited to storage, collection frequency and transport to financial institution(s).
  - Policies and procedures to prevent the diversion of marijuana to individuals younger than 21 years old.
  - Policies and procedures for energy efficiency and conservation that will include:
    - Identification of potential energy use reduction opportunities (including but not limited to natural lighting, heat recovery ventilation and energy efficiency measures), and a plan for implementation of such opportunities;
    - Consideration of opportunities for renewable energy generation, including, where applicable, submission of building plans showing where energy generators could be placed on site, and an explanation of why the identified opportunities were not pursued, if applicable;
    - Strategies to reduce electric demand (such as lighting schedules, active load management and energy storage); and
    - Engagement with energy efficiency programs offered pursuant to M.G.L. c. 25 § 21, or through municipal lighting plants.
- **Inventory Records.** Inventory Records shall be maintained in accordance with 935 CMR 500.105(8). The Company shall maintain a real-time inventory,
  - **Seed-to-Sale Tracking Records:** Tracking records for all marijuana products shall be maintained in accordance with as required by 935 CMR 500.105(8). Seed to Sale tracking records shall be maintained electronically using seed-to-sale tracking software (in conjunction with Metrc) to maintain real-time inventory. The tracking software's inventory reporting will meet the requirements of 935 CMR 500.105(8) and otherwise facilitate the Company's maintenance of a real-time inventory, which shall include, at minimum, the date of inventory, an inventory of Marijuana plants, Marijuana plant-seeds and Clones in any phase of development such as Propagation, Vegetation, and Flowering; Marijuana Products; and all damaged, defective, expired, or contaminated Marijuana and Marijuana Products awaiting disposal. The Company shall conduct a monthly inventory of Marijuana in the process of cultivation and finished, stored Marijuana as well as a comprehensive annual inventory at least once every year after the date of the previous comprehensive inventory. A summary of inventory findings, and the names,

signatures and titles of those who conducted the inventory shall be included. If inventory records were taken by use of an oral recording device, they are promptly transcribed. The Inventory Records shall be retained for at least three (3) years following the Company's closure.

- **Laboratory Test Results.** Laboratory Test Results will be retained for each batch and lot of Marijuana tested. Laboratory test results and every certificate of analysis shall be maintained in hard and electronic format. Hard copies shall be stored in a locked file in the General Manager's office. Laboratory Test Results and certificates of analysis shall be maintained for at least three (3) years following the Company's closure.
- **Security Records.** Security Records including daily visitor logs, daily security walk-through reports, and incident reports shall be maintained for three (3) years from the date of the report. A current list of authorized agents and service personnel that have access to the surveillance room will be available to the Commission upon request. 24-hour recordings from all video cameras shall be preserved for at least 90 calendar days from the date of recording. Video camera recordings will be made immediately available to the Commission upon request. Security records shall be kept in hard copy and electronic format and shall be stored in a locked file in the Head of Security's office.
- **Visitor Logs.** Daily Visitor logs shall include, at minimum, the visitor's name, date and time of visit, reason of visit, positive proof of identification, positive proof visitor is 21 years of age or older, and the name of the authorized agent escorting the visitor. Visitors shall be required to sign in and sign out. Visitor logs shall be retained as set forth in Security Records.
- **Incident Reporting Records.**
  - The Company shall notify appropriate law enforcement authorities and the Commission of any of the following breaches of security and reportable incidents immediately and, in no instance, more than 24 hours following discovery of the breach. Notification shall occur, but not be limited to, the occasions listed in 935 CMR 500.110(7)(a): discovery of inventory discrepancies, diversion, theft or loss of any Marijuana or Marijuana Product, any criminal action involving or occurring on or in the Marijuana Establishment Premise or Licensee or agent; any suspicious act involving the sale, cultivation, distribution, Processing or production of Marijuana by any Person; unauthorized destruction of Marijuana; any loss or unauthorized alteration of records related to Marijuana; an alarm activation or other event that requires response by public safety personnel, including but not limited to local law enforcement, police and fire departments, public works or municipal sanitation departments, and municipal inspectional services departments or security personnel privately engaged by the Marijuana Establishment; the failure of any security alarm system due to a loss of electrical power or mechanical malfunction that is expected to last more than eight hours; or any other breach of security.
  - The Company shall, within ten (10) calendar days, provided notice to the Commission of any incident described in bullet 1 above or in 935 CMR 500.110(9)a(a) by submitting an incident report in the form and manner determined by the Commission which details the circumstances of the event, any corrective action taken, and confirmation that the appropriate Law Enforcement Authorities were notified. Reports and supporting documents, including photos and surveillance video related to a reportable incident, will

be retained by the Company for no less than one (1) year or the duration of an open investigation, whichever is longer, and made available to the Commission and Law Enforcement Authorities upon request.

- **Transportation Records.** Transportation Records shall be maintained electronically and in hard copy format, transportation records include those documents required by 935 CMR 500.105(13) including, but not limited to; manifest records, vehicle registration, inspection documentation, and drivers' licenses. Transportation records shall be maintained for three (3) years following the date of the record. Transportation Records shall be stored in a locked file in the Head of Security's office. Transportation Records shall be made available to the Commission upon request.
- **Cultivation, Pesticide and Nutrition Records.** Cultivation, Pesticide and Nutrition Records shall be maintained in either hard-copy format or electronically. Daily logs associated with plant nutrition and pesticide treatment shall be maintained in each respective operating department. Each department will transfer its logs to the Director of Cultivation every 90 days. The Director of Cultivation will maintain and store such records in a locked file in the Director of Cultivation's office. Pesticide and nutrition records shall be maintained for three (3) years from the date of such record.
- **Product Manufacturing Records.** Product Manufacturing Records shall be maintained by the Director of Production in either hard-copy format or electronically and shall include those documents required by 935 CMR 500.130, including, at a minimum:
  - Policies and procedures for handling voluntary and mandatory recalls of Marijuana Products, including procedures to adequately deal with recalls due to any action initiated at the request or order of the Commission, and any voluntary action by the Company to remove defective or potentially defective Marijuana Products from the markets, as well as any action undertaken to promote public health and safety;
  - Policies and procedures for ensuring that any outdated, damaged, deteriorated, mislabeled, or contaminated Marijuana Products are segregated from other products and destroyed in compliance with 935 CMR 500.105(12).
  - Policies and procedures for transportation in compliance with 925 CMR 500.105(13)
  - Policies and procedures to reduce energy and water usage, engage in energy conservation and mitigate other environmental impacts, in compliance with 935 CMR 500.105(15)
  - Policies and procedures for the Transfer, acquisition, and sale of Marijuana Products between Marijuana Establishments;
  - Policies and procedures to ensure that all Edible Marijuana Products are prepared, handles, and stored in compliance with the sanitation requirements in 105 CMR 590.000: State Sanitary Code Chapter X: Minimum Sanitation Standards for Food Establishments, and with the requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases, Surveillance, and Isolation and Quarantine Requirements; and
  - Policies and procedures for maintaining a product catalogue identifying all types of Marijuana Products actively manufactured at the facility which catalogue includes a description of the product, photograph or illustration, packaging design, and dosage amounts, including expected Cannabinoid Profile;



- Policy identifying the method of extraction in compliance with 935 CMR 500.130(6);
  - A current list of product manufacturing personnel and each person's duties of Training records for each person working in product manufacturing
  - A description of all products
  - Standardized recipes
  - A summary of hazards of concern, hazard analysis and control measures of Product production monitoring procedures and logs
  - Corrective actions
  - Verification procedures and schedule
  - Food process flow diagrams
  - Supplier certification records
  - Processor audit records verifying compliance
  - Calibration logs and temperature logs, as applicable
- **Waste Disposal Records:** Waste disposal records documenting when Marijuana Products or waste is disposed or handled shall be maintained electronically, and shall include those documents and information required under 935 CMR 500.105(12), including, but not limited to, the date, type and quantity disposed or handled, the manner of the disposal or other handling, the location of disposal or other handling, and the names of the two (2) Marijuana Establishment Agents present during the disposal or other handling, with such agents signatures. Logs associated with waste disposal or other handling shall be maintained in a locked file in the Director of Cultivation's office. Such records shall be maintained for three (3) years from the date of such record; this period shall automatically be extended for the duration of any enforcement action or order of the Commission. Such records shall be provided to the Commission upon request. are readily available per request from the Commission or law enforcement.
  - **Maintenance Records.** Maintenance Records shall be maintained in electronic and hard copy. Work and purchase orders associated with building or equipment maintenance shall retained for 3 years from the date of completion of the work or purchase of equipment, unless a warranty applies to the work or equipment, in which case, all documents regarding the work or equipment shall be retained for three (3) years from the termination of the warranty. Maintenance Records shall be maintained in a file in the Operations Manager's office.
  - **Closure.** In the event the Company closes, all records will be kept for at least two (2) at the Company's expense in a form (electronic, hard copies, etc.) and location acceptable to the Commission. The Company shall communicate with the Commission during the closure process and accommodate any additional request the Commission other agencies may have.
  - **Duration of Record Retention.** Unless otherwise set forth in this Recordkeeping Plan, the Company will retain a copy of all records for two (2) years from the date the record is created or as required by the Commission of 935 CMR 500.

## **Ahava, LLC – Plan for Maintaining Financial Records**

### **PURPOSE**

Ahava, LLC (the “Company” or “Ahava”) has prepared this Plan for Maintaining Financial Records (the “Plan”) in compliance with 935 CMR 500.000 (the “Regulations”). This document provides a summary of the Plan and includes details regarding the Company’s adoption of specific policies and procedures for maintaining financial records once licensed by the Massachusetts Cannabis Control Commission (the “CCC” or the “Commission”).

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by the Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 33 N. Canal Street, Holyoke, Ma (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any term not defined in this Plan shall have the meaning given such term in the Regulations.

### **FINANCIAL RECORDS TO BE MAINTAINED**

All Ahava, LLC financial and business records, whether in electronic or hard form, will be available for inspection by the Commission and / or the Massachusetts Department of Revenue, upon request. The financial records of the Company will be kept and maintained according to generally accepted accounting principles. The Company’s Chief Financial Officer shall be responsible for all accounting responsibilities and is tasked with engaging the services of external accountants and tax professionals to ensure proper accounting compliance.

- The Company’s financial and business records will be available for inspection by the Commission upon request.
- The Company will maintain all business records in manual and computerized form. Such records include, but are not limited to:
  - Assets and liabilities;
  - Monetary transactions;
  - Books of accounts, which will include journals, ledgers, and supporting documents, agreements, checks, invoices, and vouchers;
  - Sales records including the quantity, form, and cost of marijuana products; and
  - Salary and wages paid to each employee and any executive compensation, bonus, benefit, or item of value paid to any individual affiliated with a Marijuana Establishment, including members, if any.
- The Company will also maintain the following records as required by 935 CMR 500.105:
  - Inventory Records, as required by 935 CMR 500.105(8);
  - Seed-to-sale Tracing Records for all Marijuana Products as required by 935 CMR 500.105(8)(e);
  - Waste disposal records as required under 935 CMR 500.105(12);
  - Compliance with liability insurance coverage or maintenance of escrow requirements under 935 CMR 500.105(10) and all bond or escrow requirements under 935 CMR 500.105(16);
  - Fees paid under 935 CMR 500.005 or any other section of the Commission’s regulations; and

- Fines or penalties, if any, paid under 935 CMR 500.550 or any other section of the Commission's regulations.
- The Company will utilize a point-of-sale system approved by the Commission, as necessary when making wholesale transactions. Utilizing software or other methods to manipulate or alter sales data is prohibited. To ensure compliance each month the Company will:
  - Conduct and record a monthly analysis of its equipment and sales data to confirm no software has been installed that could be utilized to manipulate or alter sales data and that no other methodology has been used to manipulate or alter sales data, and maintain a record a such analysis;
  - Make records of such monthly analysis available to the Commission upon request;
  - If it is discovered that any form of manipulation has occurred, the Company will immediately disclose the same to the Commission, begin an investigation and implement a corrective action plan and cooperate with and take such actions as requested by the Commission in connection with the investigation into and remediation of manipulation or alteration of sales data.
- The Company will not engage in retail sales of Marijuana, as such the requirements set forth in 935 CMR 500.140 do not apply.

#### **CONFIDENTIAL INFORMATION**

The Company's business, financial and personnel information will be maintained in a secure location, kept separate from all other records, and will not be disclosed without the written consent of the individual, if applicable, to whom the information applies, or as required under law or pursuant to an order from a court of competent jurisdiction; provided however, the Company will provide the Commission with access to such information upon request.

#### **ACCOUNTING REVIEW AND TAX PREPARATION**

The Company will engage a third-party accounting to review its annual financial reports for compliance and to prepare and file federal, state and local tax returns.

#### **CLOSURE OF THE MARIJUANA ESTABLISHMENT**

In the event the Company closes the Marijuana Establishment, all records will be kept for at least two years at the Company's expenses in a form and location acceptable to the Commission and otherwise in accordance with 935 CMR 500.105(9)(g). Financial records shall be kept for a minimum of three years from the date of the filed tax return and otherwise in accordance with 830 CMR 62C.25.1: Record Retention.

## Ahava, LLC – Diversity Plan

### PURPOSE

Ahava, LLC (the “Company” or “Ahava”) is a minority owned business. It is dedicated to promoting equity in its operations for diverse populations, which the Commission has identified as the following: minorities, women, veterans, people with disabilities, and LGBTQ+.

In support of these populations the Company has created this Diversity Plan (the “Plan”) and has identified the goals and created the programs below to promote diversity and equity in the Company’s operations.

### GOALS

The Company has established the following goals to promote diversity and equity in the operation of its Marijuana cultivation and manufacturing business:

- At least 15% of all employees shall be Minorities
- At least 15% of all employees shall be Women
- At least 10% of all employees shall be Veterans
- At least 10% of all employees shall be individuals with disabilities
- At least 15% of all employees shall be individuals identifying as LGBTQ+
- At least 15% of all equipment, materials and services required for the Company’s operations shall be purchased from Women/Minority-owned or Veteran-owned businesses registered with the Massachusetts Supplier Diversity Office.

### PROGRAMS

The Company has developed the following specific programs to effectuate its stated goals to promote diversity and equity in its operations:

- Targeted recruiting efforts towards candidates with diverse backgrounds through quarterly or more frequent, based on the Company’s operational needs, advertisements in publications and websites which analytics demonstrate high utilization by the populations identified above, including, but not limited to, [www.pink-jobs.com](http://www.pink-jobs.com), [www.lgbtcenters.org/careers](http://www.lgbtcenters.org/careers), [www.mygwork.com](http://www.mygwork.com), [www.blackjobs.com](http://www.blackjobs.com), [www.diversityjobs.com](http://www.diversityjobs.com), [www.bcwnetwork.com](http://www.bcwnetwork.com), [www.diversity.com](http://www.diversity.com), [www.hirelatinos.org](http://www.hirelatinos.org).
- Attendance at at least one (1) local job fair annually to be held at either Holyoke Community College, Holyoke, Massachusetts or Springfield Technical Community College, Springfield, Massachusetts and post job opportunities within the City of Holyoke and on community job boards and newspapers, including the Rainbow Times and El Pueblo Latino, as determined by the Company’s operational need, but not less than biannually.
- Utilization of the Supplier Diversity Office’s Directory of Certified Businesses to identify Women/Minority-owned or Veteran-owned businesses and send requests for proposals to those businesses when purchasing equipment, materials or services. The Company will adopt a potential vendor questionnaire which will elicit whether the supplier meets the Company’s criteria.

The Company will collect all documentation evidencing such hiring goals in accordance with applicable employment laws. While these percentages set forth above represent the Company’s goals to employ a diverse workforce the Company is limited by employment law in its ability to confirm with certainty the ultimate demographics in its workforce.

## **MEASUREMENTS**

The Chief Operating Officer or the Director of Human Resources, in conjunction with the Chief Operating Officer, will administer the Plan and will be responsible for developing measurable outcomes to ensure the Company continues to meet its commitments.

Such measurable outcomes, in accordance with the Company's goals and programs described above, include:

- Documenting the number and placement of job opportunities advertised in publications, community job boards and websites, as well as documenting the number of individuals from the targeted demographics listed above that submit applications, are interviewed, offered employment and hired as a result of these advertisements, based upon self-identification of such individuals to ensure the percentages set forth under goals for each population are met.
- Documenting the number of local job fairs attended, as well as documenting the number of individuals from the targeted demographics that submit applications, are interviewed, offered employment and hired as a result of these local job fairs, based upon self-identification of such individuals to ensure the percentages set forth under goals for each population are met.
- Tracking vendor data thru the vendor vetting process and documenting the frequency and ultimate recipients of the requests for proposals sent to Women/Minority-owned and Veteran owned businesses identified in the Supplier Diversity Office's Directory of Certified Businesses, as well as document the number and type of Women/Minority-owned and Veteran-owned businesses the contracts with for the purchase of equipment, materials and services as a result of these requests for proposals to ensure the percentages set forth under goals for each population are met.

Upon receipt of the Company's first Provisional License from the Commission, the Company will begin to utilize the proposed measurements to assess its Plan and will account for demonstrating proof of success or progress of the Plan upon the yearly renewal of the license.

The Chief Operating Officer will review and evaluate the Company's measurable outcomes no less than quarterly to ensure the Company is meeting its commitments. The Company is mindful that demonstration of the Plan's progress and success will be submitted to the Commission upon renewal.

## **ACKNOWLEDGEMENTS**

- The Company will adhere to the requirements set forth in 935 CMR 500.105(4) which provides the permitted and prohibited advertising, branding, marketing, and sponsorship practices of every Marijuana Establishment.

## **Ahava, LLC – Qualifications and Training Plan**

### **PURPOSE**

Ahava, LLC (the “Company” or “Ahava”) has prepared this Qualifications and Training Plan (the “Plan”) in compliance with 935 CMR 500.000 (the “Regulations”). This document provides a summary of the Plan and includes details regarding the Company’s adoption of specific policies and procedures for the Company’s cultivation of cannabis once licensed by the Massachusetts Cannabis Control Commission (“CCC” or the “Commission”).

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal Street, Holyoke, MA 01040 (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any term not defined in the Plan shall have the meaning given such term in the Regulations.

### **COMPANY’S RESPONSIBILITIES**

The Company, through its Executive Team, managers, and Agents is responsible to ensure specific, methodical, and consistent compliance of the Regulations and to ensure that we only hire qualified Marijuana Establishment Agents and that our training process and curriculum are in compliance with all regulations and laws.

### **QUALIFICATIONS OF THE COMPANY’S MARIJUANA ESTABLISHMENT AGENTS**

The Company has established minimum requirements to become a Marijuana Establishment Agent (“Company Agent”). These requirements are outlined below. All of the Company’s board members, directors, employees, executives, managers or volunteers will register with the Commission as a Company Marijuana Establishment Agent. For clarity, an employee means, any consultant or contractor who provides on-site services to the Company related to the cultivation, harvesting, preparation, packaging, storage, testing, or dispensing of marijuana.

All of the Company’s Marijuana Establishment Agents must:

- Be 21 years of age or older;
- Not have been convicted of an offense in the Commonwealth involving the distribution of controlled substances to minors, or a like violation of the laws of another state, the United States or foreign jurisdiction, or a military, territorial, or Native American tribal authority; and
- Be determined to be suitable for registration consistent with the provisions of 935 CMR 500.800 and 935 CMR 500.802.

The Company will develop a job description for all positions. While all of the Company’s Agents must meet the qualifications listed above, many of our positions will require additional qualifications depending on the required job duties.

## **REQUIRED TRAINING FOR THE COMPANY'S AGENTS**

Pursuant to 935 CMR 500.105(2)(a) the Company will ensure all Company Agents complete training prior to performing job functions. Training will be tailored to the role and responsibilities of the job function. The Company will train all agents in accordance with 935 CMR 500.105(2)(a) and (b). Agents responsible for tracking and entering product into the Seed-to-sale (SOR) shall receive training in a form and manner determined by the Commission.

Our initial training begins during the employee on-boarding process where all new employees will be issued their employee handbook. Classroom or online training on this day will include, but not be limited to:

- Code of Conduct
- Marijuana Regulations
- Security and Safety
- Emergency Procedures/Disaster Plan
- Diversion of Marijuana
- Terminatable Offences
- Confidential Information
- Employee Policies (all employee policies from the handbook will be covered) including but not limited to:
  - Alcohol, smoke and drug-free workplace
  - Equal Employment Policy
  - Anti-Harassment, Anti-Discrimination and Sexual Harassment Policy
  - Violence Free Workplace Policy
  - Disability Accommodation under 151B and the Americans with Disabilities Act
  - Employee Assistance Policy
  - Diversity Plan
  - Whistleblower Policy
  - Ethics Policy
  - Safety Standards

After the initial training is complete agents will be trained on job specific areas depending on their duties. This training can be done in a classroom setting, online or computerized or by means of on the job training ("OJT").

All Company Agents will receive a minimum of 8 hours of training annually. A minimum of four hours of training shall be from the Responsible Vendor Training Program established under 935 CMR 500.105(2)(b).

## **RECORD OF TRAINING.**

The Company will record, maintain and store documentation of all required training, including training regarding privacy and confidentiality requirements, and the signed statement of the individual indicating the date, time, and place such individual received said training and the topics discussed, including the name and title of presenters. These records will be stored in the Agents Personnel File. Training records will be maintained and stored by the Company for at least one year after Agents' termination, unless a longer period of time is required under M.G.L. c. 149, § 52C.

**RESPONSIBLE VENDOR TRAINING PROGRAM**

When implemented and available, the Company will require all of its Agents to attend and complete a Responsible Vendor Training Program to become designated as a “responsible vendor”. After the responsible vendor designation is applied each of the Company’s owners, managers, and employees involved in the handling and sale of marijuana for adult use will successfully complete the program once every year thereafter to maintain designation as a “responsible vendor.”

Although administrative employees who do not handle or sell marijuana are not required to take the responsible vendor program, the Company will allow and encourage them to attend on a voluntary basis.

The Company will maintain records of responsible vendor training program compliance for four years and make them available to inspection by the Commission and any other applicable licensing authority upon request during normal business hours.



## Ahava, LLC – Energy Compliance Plan

### PURPOSE

Ahava, LLC (the “Company” or “Ahava”) has prepared an Energy Compliance Plan in compliance with 935 CMR 500.000 (the “Regulation”). This document provides a summary of the Company’s Energy Compliance Plan.

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by the Massachusetts Cannabis Control Commission (“CCC” or the “Commission”) or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal Street, Holyoke, Ma (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any term not defined in this Plan shall have the meaning such term in the Regulations.

### SUMMARY

The Company’s Energy Compliance Plan is prepared pursuant to 935 CMR 500.101(1)(c)10, 935 CMR 500.120(11) and 500.105(15): Energy Efficiency and Conservation, as well as the Guidance on Basic Energy Efficiency Practices & Reporting for Marijuana Establishments. The Company’s Energy Compliance Plan is designed to reduce energy and water usage, engage in energy conservation and mitigate other environmental impacts

The Company has identified potential energy use reduction opportunities such as natural lighting and energy efficiency measures and a plan for implementation of such opportunities. The Company’s facility is being fully designed with features including optimized insulation, state of the art LED lighting, programmable thermostats with remote monitoring, and high efficiency heating units. Through the design and construction process, the Company will seek to meet and exceed all state energy efficiency requirements for construction.

The Company has considered opportunities for renewable energy generation. We are dedicated to adopting and maintaining sustainability and emissions reductions. The Company is pursuing strategies to reduce electric demand, including through:

- lighting schedules, active load management and energy storage programs
- utilization of an open concept with windows allowing natural lighting during daytime and using motion sensors on lighting in less utilized areas as well as day/night sensors on exterior lighting.

The Company plans on engaging with the energy efficiency program offered by the local utility provider as well as programs offered pursuant to M.G.L. c. 25, S. 21.

In addition, the Company will adopt and/satisfy the following:

- The Company will satisfy minimum energy efficiency and equipment standards established by the Commission and meet all applicable environmental laws, regulations, permits and other

applicable approvals, including those related to water quality and solid and hazardous waste management, prior to obtaining a final license under 935 CMR 500.103(2).

- The Company will adopt and use additional best management practices as determined by the Commission, in consultation with the working group established under section 78(b) of St. 2017, c. 55, to reduce energy and water usage, engage in energy conservation and mitigate other environmental impacts, and shall provide energy and water usage reporting to the Commission in a form determined by the Commission. These energy efficiency and equipment standards include:
  - The building envelope for the Company's facility located at 333 N. Canal Street, Holyoke, MA, will meet minimum Massachusetts Building Code requirements and all Massachusetts amendments (780 CMR: State Building Code), International Energy Conservation Code (IECC) Section C.402 or The American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) Chapters 5.4 and 5.5 as applied or incorporated by reference in 780 CMR: State Building Code, except that facilities using existing buildings may demonstrate compliance by showing that the envelope insulation complies with code minimum standards for Type Factory Industrial F-1, as further defined in guidelines issued by the Commission.
  - The Lighting Power Densities (LPD) for our cultivation space will not exceed an average of 36 watts per gross square foot of active and growing space canopy, unless otherwise determined in guidelines issued by the Commission.
  - Our Heating Ventilation and Air Condition (HVAC) and dehumidification systems will meet Massachusetts Building Code requirements and all Massachusetts amendments (780 CMR: State Building Code), IECC Section C.403 or ASHRAE Chapter 6 as applied or incorporated by reference in (780 CMR: State Building Code).
  - The Company will establish documented safety protocols to protect workers and consumers (e.g., eye protection near operating grow light).
  - The Company understands and acknowledges that the Commission may further define these standards, or create reasonable exemptions or modifications, through guidelines issued in consultation with the energy and environmental standards working group established under St. 2017, c. 55, § 78(b), including but not limited to provisions for greenhouses and agricultural buildings.

## **Ahava, LLC – Quality Control and Testing of Marijuana Products Plan**

### **PURPOSE**

Ahava, LLC (the “Company” or “Ahava”) has prepared this Quality Control and Testing of Marijuana Products Plan in compliance with 935 CMR 500.000 (the “Regulations”). This document provides a summary of the Quality Control and Testing of Marijuana Products Plan (the “Plan”) and includes details regarding the Company’s adoption of specific policies and procedures for the Company’s quality control and testing of marijuana once licensed by the Massachusetts Cannabis Control Commission (the “CCC” or the “Commission”).

The Company is committed to being compliant with the Regulations and any other requirements or sub-regulatory guidance issued by the Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This Plan may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal Street, Holyoke, Ma (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any term not defined in this Plan shall have the meaning given such term in the Regulations.

### **SUMMARY**

This Plan has been prepared in compliance with the Regulations, specifically including but not limited to 935 CMR 500.101 and 500.160: Testing of Marijuana and Marijuana Products.

The Company’s success is dependent on its ability to produce compliant products of excellence. Superior quality control and the testing of Marijuana Products are essential for the operation of the Company. The Company is committed to cultivating healthy, high quality, disease free Marijuana. In addition, superb quality control and the testing of Marijuana Products is essential for the operation of the Company’s Cultivation Facility. The Company will use best industry practices when it comes to quality control and product testing

- Quality Control will be maintained through the strict adherence to Good Manufacturing Practices and compliance with 935 CMR 500.000 et. seq, 105 CMR 590.000: Minimum Sanitation Standards for Food Establishments, the sanitation requirement in 105 CMR 500.000: Good Manufacturing Practices for Food, and with the requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases.
- All Marijuana Products that the Company will sell or transfer to other Marijuana Establishments will be tested in accordance with the Regulations and this Plan.
- The Company will not sell or otherwise market Marijuana for adult use that is not capable of being tested by Independent Testing Laboratories, except as allowed under 935 CMR 500.000.
- Any testing results indicating noncompliance with M.G.L. c.132B and the regulations at 333 CMR 2.00 through 333 CMR 14.00 will be immediately reported to the Commission, who may refer any such result to the Massachusetts Department of Agricultural Resources.

## DESIGN OF THE COMPANY'S FACILITY

The Company's facility is being designed and constructed with quality control in mind. A cornerstone of the Company's quality control is safe food handling and sanitation. The Company's shall ensure that the facility's design, construction and fit-up comply with the design and construction standards of appropriate nationally recognized standards and/or code requirements and bear the certification mark of an ANSI accredited organization (e.g. NSF, UL, ETL). To this end:

- All product contact surfaces will be smooth, durable and easily cleanable.
- The walls, ceiling and floors of all cultivation, processing and storage areas will be constructed of materials that are smooth, durable and can be adequately kept clean and in good repair. There shall be coving at base junctures that is compatible with both wall and floor coverings. The coving shall provide at least 1/4-inch radius and 4" in height.
- The facility will provide sufficient space for the placement of equipment and storage of materials as is necessary for the maintenance of sanitary operations and the production of safe Marijuana Products.
- Floor drains and floors will be effectively sloped and designed prevent pooling water. Drains will have proper grating to prevent blockage and stopping of drains.
- Overhead fixtures, ducts and pipes will be designed to prevent drips or condensate from potential contamination of Marijuana Products or Marijuana Products -packaging materials. Piping and conduit shall be at least 25 mm (2.5 cm) from the walls and ceilings.
- Aisles or working spaces will be provided between equipment and walls and will be adequately unobstructed and of adequate width to permit employees to perform their duties and to protect against contaminating Marijuana Products or infused Marijuana Products coming into contact with surfaces, clothing or personal contact.
- Lighting and Light Fittings: Shatter-proof or safety-type light bulbs, fixtures, or other glass shall be used where lighting is suspended over cultivation, processing or storage areas or otherwise protect against Marijuana Products contamination in case of glass breakage.
  - Suspended lighting will be constructed from non- corrodible and cleanable assemblies.
  - Adequate lighting will be installed in hand-washing areas, dressing and locker rooms, and toilet rooms and in all areas where infused or marijuana products is examined, processed, or stored and where equipment or utensils are cleaned.
  - All light bulbs used in the production, processing and storage areas will be shatterproof and/or protected with plastic covers.
  - There shall be adequate safety lighting in all production, processing and storage areas, as well as areas where equipment or utensils are cleaned.

- Buildings, fixtures, and other physical facilities will be constructed in such a manner that allow them to be maintained in a sanitary condition.
- Ventilation: Adequate ventilation or control equipment to minimize odors and vapors (including steam and noxious fumes) will be installed in areas where they may contaminate Marijuana Products. Fans and other air-blowing equipment shall be operated in a manner that minimizes the potential for contaminating Marijuana Products, Marijuana Products packaging materials, and Marijuana Products contact surfaces.
- Hand-washing facilities will be adequate and convenient and shall be furnished with running water at a suitable temperature and shall be a) located in all production and processing areas and where good sanitary practices require employees to wash and sanitize their hands, and b) Provide effective hand-cleaning and sanitizing preparations and sanitary towel service or suitable drying devices.
- The facility's water supply comes from the City of Holyoke municipal water supply and shall be sufficient for necessary operations.
- The facility's plumbing will be of adequate size and design, and adequately installed and maintained to carry sufficient quantities of water to required locations throughout the facility.
  - Plumbing shall properly convey sewage and liquid disposable waste from the facility.
  - There will be no cross-connections between the potable and waste water lines.
- The facility will provide its employees with adequate, readily accessible toilet facilities that will be maintained in a sanitary condition and in good repair.
- All storage areas will be constructed in a manner that will protect its contents against physical, chemical, and microbial contamination as well as against deterioration of Marijuana Products or their containers.

#### **CONTAMINATION CONTROL.**

- Entrance and Exit Doors. All entrance and exit doors to the facility will be self-closing and rodent proof.
  - Air curtains will prevent insects and microbial contaminants from entering the building when doors are in use.
  - Insect screening, HEPA, and carbon filters will prevent pest and microbial contaminants from entering through vents and exhaust from the outside.
  - Foot baths and sticky mats are strategically placed thru out the facility to collect pest and contaminants from footwear.
- Employee and visitor gowning.
  - Employees will be required to change out of their street clothes and footwear into uniforms and footwear dedicated to the facility.

- Visitors will be required to secure personal belongings and don jump suits and disposable boot covers.
- Training. All employees will be trained on pest prevention, pest management, pest detection, and pest treatments.
- Traps for monitoring. Small sticky traps for monitoring of flying or airborne pest shall be posted, mapped and levels of any pest monitored/documented.
- 5) Handling and storage of marijuana product or marijuana plant waste.
  - All Marijuana plant waste will be placed in the “Marijuana Waste” container located in each cultivation and processing area. This container must be impervious and covered.
  - At the end of every day the “Marijuana Waste” container must be emptied, and the contents transferred to the Marijuana Waste Room
  - All plant waste will be stored in the waste room in sealed containers until disposal
- Handling and storage of non-marijuana waste.
  - (a) All non-Marijuana waste will be placed into the appropriate impervious covered waste receptacles. Such waste receptacles will be labelled: i) Recyclable, ii) Organic, and iii) Solid waste.
  - (b) At the end of every day these containers will be emptied, and the contents removed from the building and placed in the appropriate containers to await pickup
- Storage of toxic materials. All toxic materials including cleaning compounds, pesticides, sanitizers, etc. will be stored in an area away from production, processing and storage areas.

## **SANITATION.**

All Marijuana Products will be prepared, handled, and stored in compliance with the following;

- The sanitation requirements in 105 CMR 500.000: Good Manufacturing Practices for Food;
- The sanitation requirements in 105 CMR 590.000: Minimum Sanitation Standards for Food Establishments; and
- The requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases, Surveillance, and Isolation and Quarantine Requirements.

The Company and all employees and visitors, as applicable, will ensure the following:

- Storage. Separate storage rooms will be utilized for Finished Marijuana Products.
- Hand Washing. The facility will have a separate handwashing sink; hand drying device, or disposable towels; supply of hand cleaning agent; and waste receptacle for each processing, production, utensil washing area, and toilet room.
  - Sinks used for product preparation or for washing equipment or utensils shall not be used for handwashing.

- Each handwashing sink will be provided with hot and cold water tempered by means of a mixing valve or a combination faucet to provide water at a temperature of at least 110 degrees Fahrenheit.
  - Handwashing sinks will be of sufficient number and conveniently located for use by all employees in the production, processing and utensil washing areas.
  - Handwashing sinks will be easily accessible and may not be used for purposes other than handwashing.
- Toilet Room. A toilet room shall be available for use by all workers. Ventilation will be provided by mechanical means. A soap dispenser and disposable towels shall be provided for hand washing in toilet rooms.
- Manual Cleaning and Sanitizing. For manual cleaning and sanitizing of equipment and utensils, a stainless steel three-compartment sink will be used.
    - The sink compartments shall be large enough to hold the largest pot, pan or piece of equipment.
    - Each compartment will be supplied with adequate hot and cold potable running water
    - Integral drainboards of adequate size shall be provided on both sides of the sink for cleaned and soiled utensils
    - A floor drain will be located in the immediate vicinity of the sink in areas where wet pots, utensils and equipment are air-drying.
    - Stainless Steel racks, shelves or dish tables are to be provided adjacent to the warewash sink.
    - An approved chemical test kit for determining sanitizer strength will be available and used.
- Manual Warewashing Procedure.
    - STEP 1 Rinse, scrape, or soak all items before washing.
    - STEP 2 Record the date, sanitizer water temperature or test strip results, and initial record on Manual Warewashing Monitoring Form.
    - STEP 3 Wash items in the first sink in a detergent solution. Water temperature should be at least 110°F. Use a brush, cloth, or scrubber to loosen remaining soil.
    - STEP 4 Replace detergent solution when suds are gone or water is dirty.
    - STEP 5 Immerse or spray-rinse items in second sink. Water temperature should be at least 110°F. Remove all traces of food and detergent. If using immersion method, replace water when it becomes cloudy, dirty, or sudsy.
    - STEP 6 Immerse items in third sink filled with hot water or a chemical-sanitizing solution.
      - If hot water immersion is used, the water temperature must be at least 180°F. Items must be immersed for 30 seconds. Proper personal protective equipment should be worn.
      - If chemical sanitizing is used, the sanitizer must be mixed at the proper concentration. (Check at regular intervals with a test kit.)
        - Water must be correct temperature for the sanitizer used.

- The strength of the sanitizer must be measured in accordance with manufacturer's instructions.
  - STEP 7 Drying – To avoid recontamination of clean and sanitary items:
    - Air dry all items on a drainboard.
    - Wash hands prior to returning to storage.

**Ware washing Sink Setup**

WASH	RINSE	SANITIZE
<b>110F</b>  <b>Soapy Water</b>	<b>110F</b>  <b>Clear Water</b>	<b>180F</b> <b>or</b> <b>Chemical sanitizer</b>

Chemical Solution	Concentration Level	Minimum Temperature	Minimum Immersion Time
Chlorine Solution	25mg/l minimum 50mg/l minimum 100mg/l minimum	120°F 100°F 55°F	10 seconds 10 seconds 10 seconds
Iodine Solution	12.5-25.0mg/l	75°F	30 seconds
Quaternary Ammonium Solution	200 ppm maximum	75°F	30 seconds

- Equipment Cleaning and Sanitizing Procedure.
  - STEP 1 Disassemble removable parts from equipment
  - STEP 2 Use the three-sink method to wash, rinse, and sanitize all parts. Verify sanitizer concentration for each meal period and as necessary per policy.
    1. Quaternary ammonia –200 ppm and immerse for 30 seconds
    2. Iodine –12.5-25.0 ppm and immerse for 30 seconds
    3. Chlorine –50-99ppm and immerse for 7 seconds
  - STEP 3 Wash, rinse, and sanitize all food contact surfaces of the equipment that are stationary.
  - STEP 4 Allow all parts of the equipment to air dry.
  - STEP 5 After being rinsed and sanitized, equipment and utensils should not be rinsed before air-drying, unless the rinse is applied directly from a ware washing machine or the sanitizing solution calls for rinsing off the sanitizer after it has been applied in a commercial ware washing machine.
  - STEP 6 Re-assemble the equipment.



- Product Preparation Surfaces- These surfaces will be cleaned and sanitized as frequently as necessary to protect against contamination, using a sanitizing agent registered by the US Environmental Protection Agency (EPA), in accordance with labeled instructions.
  - STEP 1 Prescrape surface to remove gross soils.
  - STEP 2 Wash surface with recommended strength solution of pot & pan detergent.
  - STEP 3 Rinse with water and wipe dry.
  - STEP 4 Using trigger sprayer bottle and a different wiping cloth, apply sanitizing solution of sanitizer.
  - STEP 5 Per label directions, use appropriate test papers to determine correct concentration of the sanitizer solution. Surfaces must remain wet for 60 seconds
  - STEP 6 Allow to air dry.

#### **TRANSMISSIBLE DISEASE.**

- Transmissible Disease. Any employee or contractor who, by medical examination or supervisory observation, is shown to have, or appears to have, any disease transmissible through food, an illness, open lesion, including boils, sores, or infected wounds, or any other abnormal source of microbial contamination by which there is a reasonable possibility of Marijuana Products, production or processing surfaces, or packaging materials becoming contaminated, shall be excluded from any operations which may be expected to result in such contamination until the condition is corrected. Personnel shall be instructed to report such health conditions to their supervisors.
  - Any Manager, when such Manager knows or has reason to believe that an employee has contracted any disease transmissible through food or has become a carrier of such disease, or any disease listed in 105 CMR 300.200(A) will report the same immediately by email to the City of Holyoke Board of Health.
  - The Company will voluntarily comply with any and all isolation and/or quarantine orders issued by the City of Holyoke Board of Health or the Department of Public Health.
  - The Company Agents must report any flu-like symptoms, diarrhea, and/or vomiting to their supervisor. Employees with these symptoms will be sent home with the exception of symptoms from a noninfectious condition.
  - Agents may be re-assigned to activities so that there is no risk of transmitting a disease through food/product.
- Company Agents Sanitary Practices. All the Company Agents shall conform to sanitary practices while on duty, including the following:
  - Maintain adequate personal cleanliness.
    - Grooming:
      - Arrive at work clean – clean hair, teeth brushed, bathed and deodorant used daily.
      - Maintain short, clean, and polish-free fingernails. No artificial nails are permitted in the food/product production or processing area.

- Fingernails should be trimmed, filed, and maintained so edges and surfaces are cleanable and not rough.
  - Wash hands (including under fingernails) and up to forearms vigorously and thoroughly with soap and warm water for a period of 20 seconds:  
When entering the facility before work begins.
    - Immediately before preparing or processing products or handling equipment.
    - As often as necessary during cultivation or product preparation when contamination occurs.
    - In the restroom after toilet use and when you return to your work station.
    - When switching between working areas
    - After touching face, nose, hair, or any other body part, and after sneezing or coughing.
    - After cleaning duties.
    - Between each task performed and before wearing disposable gloves.
    - After eating or drinking.
    - Any other time an unsanitary task has been performed – i.e. taking out garbage, handling cleaning chemicals, picking up a dropped item, etc.
  - Wash hands only in hand sinks designated for that purpose.
  - Dry hands with single use towels. Turn off faucets using a paper towel, in order to prevent recontamination of clean hands.
- Proper Attire:
  - Wear appropriate clothing – clean uniform with sleeves and clean non-skid close-toed work shoes (or leather tennis shoes) that are comfortable for standing and working on floors that can be slippery.
  - Wear apron or lab coat on site, as appropriate.
    - Do not wear apron or lab coat to and from work.
    - Take off apron or lab coat before using the restroom.
    - Remove apron or lab coat when leaving the production or processing area.
    - Change apron or lab coat if it becomes soiled or stained.
  - Wear disposable gloves with any cuts, sores, rashes, or lesions.
  - Wear gloves when handling products or product ingredients that will not be heated-treated.
  - Wear gloves when packaging products.
  - Change disposable gloves as often as handwashing is required. Wash hands before donning and after discarding gloves.
- Hair Restraints and Jewelry:
  - Wear a hair net or bonnet in any food/product production or processing area so that all hair is completely covered.

- Keep beards and mustaches neat and trimmed. Beard restraints are required in any food/product production or processing area.
- Refrain from wearing jewelry in the food/product production and processing area.
- Only a plain wedding band.
- No necklaces, bracelets, or dangling jewelry are permitted.
- No earrings or piercings that can be removed are permitted.
- Cuts, Abrasions, and Burns:
  - Bandage any cut, abrasion, or burn that has broken the skin.
  - Cover bandages on hands with gloves and finger cots and change as appropriate.
  - Inform supervisor of all wounds.
- Smoking, eating, and gum chewing:
  - The Company facility is a smoke free facility. No smoking or chewing tobacco shall occur on the premises.
  - Eat and drink in designated areas only. A closed beverage container may be used in the production area if the container is handled to prevent contamination of i) the employee's hands, ii) the container, and iii) exposed product, clean equipment and utensils.
  - Refrain from chewing gum or eating candy during work in a food/product production or processing area.

#### **HACCP- HAZARD ANALYSIS AND CRITICAL CONTROL POINT.**

The Company will implement a HACCP plan in accordance with the HACCP Principles & Application Guidelines issued by the FDA. This HACCP plan will address the processing, production and packaging of all marijuana products that the Company will manufacture. Once operational the Company will:

- Assemble the HACCP team
- Describe the product and its distribution
- Describe the intended use and consumers of the product
- Develop a flow diagram which describes each process
- Verify the flow diagram
- Conduct a hazard analysis for each product (Principle 1)
- Determine critical control points (CCPs) for each product (Principle 2)
- Establish critical limits (Principle 3)
- Establish monitoring procedures (Principle 4)
- Establish corrective actions (Principle 5)
- Establish verification procedures (Principle 6)
- Establish record-keeping and documentation procedures (Principle 7)

#### **TRAINING.**

The Company will provide training and training opportunities to all of its employees. In addition to required training, the Company will encourage advanced training to all employees in the areas of Plant Safety, Safe Cultivation Processes, Good Manufacturing Practices and HACCP.

- All employees will be trained on basic plant safety prior to or during the first day of employment.
  - Include basic product safety training as part of new employee orientation.
  - The sanitation requirements in 105 CMR 500.000: Good Manufacturing Practices for Food;
  - The sanitation requirements in 105 CMR 590.000: Minimum Sanitation Standards for Food Establishments; and
  - The requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases, Surveillance, and Isolation and Quarantine Requirements
- All employees engaging in the trimming or packaging will be trained and certified in a nationally accredited Food Handler Program (i.e. ServSafe)
- All employees will receive at least bi-annual training on plant safety, Good Manufacturing Practices and HACCP.
- The Company will require monthly in-service training.
- All managers are required to be Certified Food Protection Managers (CFPM) by completing a SERVSAFE or similar nationally accredited food safety certification course.
- The Company shall use outside resources, such as Extension specialists, vendors, health department inspectors, or qualified trainers to provide plant safety and HACCP training.
- Managers will observe staff to ensure they demonstrate plant safety knowledge each day in the workplace.
- The Company will Document the content of all training sessions and attendance.
- Documentation of training sessions content and attendance will be filed in HACCP records.

## **TESTING OF MARIJUANA AND MARIJUANA PRODUCTS**

The Company's sampling and testing policies and procedures are compliant with the testing requirements outlined in 935 CMR 725.160: Testing of Marijuana and Marijuana Products and the "Protocol for sampling and analysis of finished medical marijuana products and marijuana-infused products for Massachusetts Registered Medical Marijuana Dispensaries" published by DPH.

Testing of environmental media (e.g., soils, solid growing media, and water) shall be performed in compliance with the "Protocol for Sampling and Analysis of Environmental Media for Massachusetts Registered Medical Marijuana Dispensaries" published by the DPH.

The Company will contract with a Licensed Independent Testing Laboratory to test all marijuana batches prior to packaging to ensure contaminant-free purity and correct dosage and potency. We have begun discussions with several Marijuana Testing laboratories which are Accredited to International

Organization for Standardization (ISO) 17025 by a third-party accrediting body that is a signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement. Any Laboratory that the Company contracts with will be Licensed by the Commission prior to the Company contracting them for testing services.

- This testing lab will pick up and transport our testing samples to and from their lab. This transportation will comply with the Company's policies and procedures and 935 CMR 500.105(13) if applicable.
- The Company will ensure that the storage of all marijuana products at the laboratory complies with 935 CMR 500.105(11).
- Any and all excess the Company marijuana product samples used in testing will be disposed of in compliance with 935 CMR 500.105(12), either by the Independent Testing Laboratory returning excess marijuana to the Company Facility for disposal or by the Independent Testing Laboratory disposing of it directly the Company will not sell or otherwise market for adult use any Marijuana Product that is not capable of being tested by Independent Testing Laboratories, except as allowed under 935 CMR 500.000. The product must be deemed to comply with the standards required under 935 CMR 500.160

Required testing includes:

- Cannabinoid Profile
- Contaminants as specified by the Department including, but not limited to:
  - Mold
  - Mildew
  - Heavy metals
  - Plant-Growth Regulators and Pesticides that are compliant with M.G.L. c. 132B and the regulations promulgated at 333 CMR 2.00 through 333 CMR 14.00.
- Bacteria
- Fungi
- Mycotoxins

The Company will maintain the results of all testing for no less than one year. The Company will arrange for testing to be conducted in accordance with the frequency required by the Department.

If a batch of Marijuana fails a quality assurance test, it will be quarantined and stored away from other product and the Department will be notified within 72 hours of these results. the Company will submit to the Department upon their request, any information regarding contamination. The batch will be retested, remediated or destroyed as determined by Director of Cultivation and the Chief Operating Officer.

This policy will be available to registered qualifying patients and personal caregivers. Any notifications indicating contamination that cannot be remediated will include a proposed plan for destruction of contaminated product and assessment of the source of contamination.

## **POLICY FOR RESPONDING TO LABORATORY RESULTS THAT INDICATE CONTAMINANT LEVELS ARE ABOVE ACCEPTABLE LIMITS**

If a laboratory test result indicates that a Company marijuana product sample has contaminant levels above the acceptable limits established in the DPH protocols identified in 935 CMR 500.160(1) the Company will:

- Immediately segregate the cultivation or production batch and evaluate next steps.
- Using the flow chart below (Actions in Response to Laboratory Analytical Results), the Cultivation Manager and CEO will determine whether to: i) Retest the Cultivation/Production Batch, ii) Remediate the Cultivation/Production Batch, or iii) Dispose of Cultivation/Production Batch
- If the test result indicates has a contaminant level for Pesticides that is above the acceptable limits the Production Batch will be immediately disposed of.
- If it is determined that the Production Batch cannot be remediated, it will be disposed of.
- In the case of disposal under 1 and 2 above the Director of Cultivation or CEO will:
  - Notify the Commission within 72 hours of the laboratory testing results indicating that the contamination cannot be remediated.
  - The notification to the Commission will describe the proposed plan of action for both the destruction of the contaminated product and the assessment of the source of contamination.
- In the case of any test result that indicates that a Company marijuana product sample has contaminant levels above the acceptable limits, the Director of Cultivation and CEO will conduct an assessment of the source of the contamination.
  - This extensive assessment will include investigating all possible sources of contamination including water, media, nutrients, environmental conditions and employee factors.
  - The assessment should include a corrective action plan and be shared as a training tool with all the Company agents.

## **QUALITY CONTROL SAMPLES**

- The Company may provide a Quality Control Sample of Marijuana flower to its employees for the purpose of ensuring product quality and determining whether to make the product available to sell in accordance with 935 CMR 500.120(14): Quality Control Samples.
- Quality Control Samples provided to employees: (i) May not be consumed on the licensed Premises; (ii) may not be sold to another licensee or Consumer; and (iii) shall be tested in accordance with 935 CMR 500.160: Testing of Marijuana and Marijuana Products.
- Quality Control Sample limits. The Company is limited to providing the following aggregate amount of Quality Control Samples to all employees in a calendar month period: Four (4) grams per strain of Marijuana flower and no more than seven (7) strains of Marijuana flower.
- All Quality Control Samples provided by the Company under 935 CMR 500.120(14): Quality Control Samples shall be assigned a unique, sequential alphanumeric identifier and entered into

the Seed-to-sale SOR in a form and manner to be determined by the Commission, and further, shall be designated as "Quality Control Sample."

- Quality Control Samples provided under this subsection shall have a legible, firmly Affixed label on which the wording is no less than 1/16 inch in size containing at minimum the following information:
  - A statement that reads: "QUALITY CONTROL SAMPLE NOT FOR RESALE";
  - The name and registration number of the Company;
  - The quantity, net weight, and type of Marijuana flower contained within the package; and
  - A unique sequential, alphanumeric identifier assigned to the Cultivation Batch associated with the Quality Control Sample that is traceable in the Seed-to-sale SOR.
  
- Upon providing a Quality Control Sample to an employee, the Company shall record:
  - The reduction in quantity of the total weight or item count under the unique alphanumeric identifier associated with the Quality Control Sample;
  - The date and time the Quality Control Sample was provided to the employee;
  - The agent registration number of the employee receiving the Quality Control Sample; and
  - The name of the employee as it appears on their agent registration card.

#### **STORAGE AND TRANSPORTION**

- The Company shall store and transport Finished Marijuana Products shall be under conditions that will protect them against physical, chemical, and microbial contamination as well as against deterioration of Finished Marijuana Products or their containers.
  
- All vehicles and transportation equipment used in the transportation of Marijuana Products or Edibles requiring temperature control for safety shall be designed, maintained, and equipped as necessary to provide adequate temperature control to prevent the Marijuana Products or Edibles from becoming unsafe during transportation, consistent with applicable requirements pursuant to 21 CFR 1.908(c).

#### **STORAGE REQUIREMENTS.**

The Company's facility is being designed to ensure compliance with the Regulations. The facility design and the Company's policies and procedures shall ensure the following:

- Sufficient space for placement of equipment and storage of materials as is necessary for the maintenance of sanitary operations;
- Adequate lighting, ventilation, temperature, humidity, space, and equipment, in accordance with applicable provisions of 935 CMR 500.105 and 935 CMR 500.110.
- Separate areas for storage of Marijuana that is outdated, damaged, deteriorated, mislabeled, or contaminated, or whose containers or packaging have been opened or breached, until such products are destroyed.
- Storage areas shall be:
  - maintained in a clean and orderly condition.
  - free from infestation by insects, rodents, birds, and pests of any kind.

- maintained in accordance with the security requirements of 935 CMR 500.110.
- Products that can support the rapid growth of undesirable microorganisms shall be held in a manner that prevents the growth of these microorganisms.

## **WASTE DISPOSAL.**

The Company's facility is being designed to ensure compliance with the Regulations. The facility design and the Company's policies and procedures shall ensure the following:

- All recyclables and waste, including organic waste composed of or containing Finished Marijuana and Marijuana Products, shall be stored, secured, and managed in accordance with applicable state and local statutes, ordinances, and regulations. All exterior waste receptacles located on the Marijuana Establishment's Premises shall be locked and secured as to prevent unauthorized access.
- Liquid waste containing Marijuana or by-products of Marijuana Processing shall be disposed of in compliance with all applicable state and federal requirements, including but not limited to:
  - discharge of pollutants into surface water or groundwater (Massachusetts Clean Waters Act, M.G.L. c. 21, §§ 26 through 53; 314 CMR 3.00: Surface Water Discharge Permit Program; 314 CMR 5.00: Groundwater Discharge Program;
  - 314 CMR 12.00: Operation Maintenance and Pretreatment Standards for Wastewater Treatment Works and Indirect Dischargers;
  - the Federal Clean Water Act, 33 U.S.C. 1251 et seq.,
  - the National Pollutant Discharge Elimination System Permit Regulations at 40 CFR Part 122; 314 CMR 7.00: Sewer System Extension and Connection Permit Program); and
  - stored pending disposal in an industrial wastewater holding tank in accordance with 314 CMR 18.00: Industrial Wastewater Holding Tanks and Containers, Construction, Operation, and Record Keeping Requirements.
- Organic material, recyclable material and solid waste generated at the Company's facility shall be redirected or disposed of as follows:
  - Organic and recyclable material shall be redirected from disposal in accordance with the waste disposal bans described at 310 CMR 19.017: Waste Bans.
  - To the greatest extent feasible:
    - Any recyclable material as defined in 310 CMR 16.02: Definitions shall be recycled in a manner approved by the Commission; and
    - Any Marijuana containing organic material as defined in 310 CMR 16.02: Definitions shall be ground up and mixed with other organic material as defined in 310 CMR 16.02 such that the resulting mixture renders any Marijuana unusable for its original purpose. Once such Marijuana has been rendered unusable, the organic material may be composted or digested at an aerobic or anaerobic digester at an operation that is in compliance with the requirements of 310 CMR 16.00: Site Assignment Regulations for Solid Waste Facilities.



- Solid waste containing Marijuana generated at the Company's facility shall be ground up and mixed with other solid waste at the Marijuana Establishment such that the resulting mixture renders any Marijuana unusable for its original purpose. Once such Marijuana has been rendered unusable, the resulting solid waste may be brought to a solid waste transfer facility or a solid waste disposal facility (e.g., landfill or incinerator) that holds a valid permit issued by the Department of Environmental Protection or by the appropriate agency in the jurisdiction in which the facility is located.
- No fewer than two of the Company's Agents shall witness and document how the solid waste or organic material containing Marijuana is handled on-site including, but not limited to, the grinding up, mixing, storage and removal from the Company's facility in accordance with 935 CMR 500.105(12).
- When Marijuana Products or waste is disposed or handled, the Company shall create and maintain an electronic record of the date, the type and quantity disposed or handled, the manner of disposal or other handling, the location of disposal or other handling, and the names of the two Company Agents present during the disposal or other handling, with their signatures. The Company shall keep these records for at least three years. This period shall automatically be extended for the duration of any enforcement action and may be extended by an order of the Commission.

## **Ahava, LLC – Safety Plan for Manufacturing**

### **PURPOSE**

Ahava, LLC (the “Company” or “us” “we” or “our”) has prepared this Safety Plan for Manufacturing in compliance with 935 CMR 500.000 (the “Regulation”). This document should be read in conjunction with the Company’s Methods Used to Produce Products Plan (the “Plan”), which Plan includes details regarding the Company’s adoption of specific policies and procedures for the Company’s methods used to produce Marijuana Products once licensed by the Massachusetts Cannabis Control Commission (the “CCC” or the “Commission”).

The Company is committed to being compliant with all the Regulations and any other requirements or sub-regulatory guidance issued by the Commission or any other regulatory agency having jurisdiction and authority over the Company’s operations.

This document and the other Plans referenced may be amended or modified once the design and building out of the Company’s facility located at 333 N. Canal Street, Holyoke, Ma (the “facility”) is complete or in response to changes in the Regulations or specific requests from the Commission or other agency.

Any terms not defined in this in this document shall have the meanings given them the Regulations.

### **SUMMARY**

This Plan has been prepared in compliance with the Regulations, specially including but not limited to 935 CMR 500.101, 935 CMR 500.105(5)(a), 935 CMR 500.101(3)(c)(5), 935 CMR 500.105(5)(c), 935 CMR 500.105(5)(d), and 935 CMR 500.130.

### **METHODS OF PRODUCTION.**

The Company will use physical and mechanical means to process the Marijuana and manufacture its products. The Company does not plan, at this time, to produce Marijuana Products using Non-Solvent and Solvent Concentrate methods. If the Company determines production of its Marijuana Products requires the use of Non-Solvent and / or Solvent Concentrate methods, both such concentrates will be used as permitted by and in compliance with the Regulations. All employees shall follow step-by-step instructions to safely and appropriately complete safety checks, preparation, extraction, solvent purging (not applicable for non-solvent concentrates), cleaning, and waste disposal.

### **POSTING METHODS OF EXTRACTION.**

The Company does not plan, at this time, to manufacture Marijuana Products requiring extraction. If the Company determines to produce its Marijuana Products by extraction the Company shall identify the method of extraction (e.g., Butane, Propane, CO2) on a physical posting at all entrances of the Marijuana Establishment. The Posting shall be a minimum of 12" x 12" and identify the method of extraction in lettering no smaller than one inch in height. The Company shall post a copy of a permit to keep, store, handle or otherwise use flammable and combustible at each place of operation within the facility in accordance with 935 CMR 500.130.

The Company shall adopt Policies and procedures for ensuring safety in all processing activities and the related uses of extraction equipment in compliance with the standards set forth in 527 CMR 1.00: The Massachusetts Comprehensive Fire Code.

To the extent a stricter municipal or state regulation applies or regulates the postings described in this section, the Company will comply with such stricter requirement.

### **SAFETY PLAN AND SANITARY PRACTICES**

The Company has prepared a comprehensive plan regarding Quality Control and Testing of its Marijuana Products which plan contains details regarding the Company's safety plan and sanitary practices.

The Company's facility located at 333 N. Canal Street, Holyoke, MA will be designed and constructed with safe food handling and sanitation in mind. All equipment in the facility will comply with the design and construction standards of appropriate nationally recognized standards and/or code requirements and bear the certification mark of an ANSI accredited organization (e.g. NSF, UL, ETL).

- The following is a brief summary of the key points of the Quality Control and Testing of Marijuana Products Plan relating to Safety and Sanitary Practices:
  - All Marijuana Products will be prepared, handled, and stored in compliance with the following;
  - The sanitation requirements in 105 CMR 500.000: Good Manufacturing Practices for Food;
  - The sanitation requirements in 105 CMR 590.000: Minimum Sanitation Standards for Food Establishments; and
  - The requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases, Surveillance, and Isolation and Quarantine Requirements
  - The Company will establish documented safety protocols to protect workers and consumers (e.g., eye protection near operating grow light).
  - All employees will be trained on basic plant safety prior to or during the first day of employment.
    - Include basic product safety training as part of new employee orientation.
    - The sanitation requirements in 105 CMR 500.000: Good Manufacturing Practices for Food;
    - The sanitation requirements in 105 CMR 590.000: Minimum Sanitation Standards for Food Establishments; and
    - The requirements for food handlers specified in 105 CMR 300.000: Reportable Diseases, Surveillance, and Isolation and Quarantine Requirements.