
Guidance on Submitting a Whistleblower Report

Before filing your report, it is important to gather as much information as possible to assist in the investigation. To aid in the preparation of your report, please use the investigative questions/statements below to help ensure that you are providing as much detail as possible.

NOTE: All communication will be between yourself and a representative from Cornerstone Governance (“Cornerstone”) only and at no time will you be communicating directly with a representative from your company unless you choose to do so. Your contact information, if included in your report, is never shared with your company unless you provide us written authorization to do so or you choose to share it with them directly. Your information will be shared with law enforcement authorities if Cornerstone is directed to do so by a court order.

If you are submitting a written report (login and password required):

Upon submission of your report you will be given a unique ticket number that is specific to your report. If you have chosen not to provide your contact information, please ensure that you make note of this ticket number. If you have provided your email address, you will receive an email with the ticket number. This ticket number will allow you to re-enter the system to check for communication, including follow-up questions, or to provide additional information that you would like to include in your report.



If you are submitting a telephone report:

Please be sure to speak clearly and slowly so that all details can be understood and transcribed accordingly. Please provide your name and contact information so that a representative of Cornerstone can contact you to clarify or obtain additional information (this is optional; please see the note above). If you choose not to include your contact information, please note that Cornerstone will not be able to further communicate with you regarding your issue. If you would like to remain anonymous but still wish to communicate with Cornerstone, please submit your report via the secure website (see instructions above on submitting a written report) where you will be issued a unique ticket number. This ticket number will allow you to re-enter

the system to check for communication, including follow-up questions, or to provide additional information that you would like to include in your report.

For all submissions, please include the following:

1. Please describe the location of the alleged incident(s). If your company has more than one office location, please include the city and specific regional association/office to ensure that your report is submitted to the correct designate for investigation.
2. Please provide the department(s) where the alleged incident(s) occurred.
3. Please provide the date(s) and time(s) that the alleged incident(s) occurred.
4. Please describe the nature of the alleged wrongdoing (e.g. fraud, theft, conflict of interest).



-
5. How many times has the alleged incident(s) taken place?
 6. How long has the alleged incident(s) been taking place?
 7. Please state the full name(s) and title(s) of individuals or organizations whom you suspect of wrongdoing.
 8. How did you become aware of the alleged improper activity?
 9. Have you reported the alleged incident to anyone else? If so, what was the response?
 10. Please provide any additional details of the alleged incident that you feel would be useful in the investigation.
 11. If you have documents that you would like to submit in support of your report, the system will allow you to upload up to four documents in PDF format. For information on how to save your word document as a PDF please visit this Microsoft Office support page <https://support.office.com/en-us/article/save-or-convert-to-pdf-or-xps-d85416c5-7d77-4fd6-a216-6f4bf7c7c110>. To save a Google Doc as a PDF open the document, choose File, Download As, PDF document.

