

REDUCE RISK. CREATE TRUST.





ETHICS HOTLINE & CASE MANAGEMENT PLATFORM

An online and mobile platform to provide employees, suppliers and customers a Confidential & Anonymous system to report incidents.

A Case Management portal to quickly and effectively investigate and resolve cases.



WHAT YOU DON'T KNOW CAN HURT YOU

EXCLUSIVE

WEINSTEIN COMPANY HIT WITH LAWSUITS FOLLOWING SEXUAL ASSAULT ALLEGATIONS

Actor Dominique Huett files \$5m civil suit against film company for 'aiding and abetting' Harvey Weinstein, alleging board members knew about and ignored misconduct

An actor who claims she was sexually assaulted by Harvey Weinstein is suing the disgraced mogul's production company, according to reports.

Wednesday

Avon settles charges of bribery

Avon settles Justice Department charges of China bribery for \$135 million

According to a list from a popular blog on the law, FCPA Blog.

Under a deal approved by the federal court in Manhattan, the DOJ will defer criminal prosecution of the company for three years, while Avon agreed to a corporate compliance monitor, who with the government's approval can be replaced after 18 months if Avon agrees to undertake self-monitoring and reporting obligations for an additional 18 months. The SEC deal is still subject to approval by the United States District Court for the Southern District of New York.

tion, which it started in 2008, has cost the company about \$300 million.

According to an SEC document filed in Manhattan court, Avon spent a total of \$8 million in cash and gifts to Chinese government officials during the period from 2004 through the third quarter of 2008. That included things like payments for travel within China or to the United States or Europe, corporate box tickets to the China Open tennis tournament, gifts of Louis Vuitton merchandise, Gucci bags, and Tiffany & Co pens, and a total of \$1.65 million for meals and entertainment. In 2006, Avon became the first company to win a license.

This crime in the workplace is costing US businesses \$50 billion a year

There is a hidden risk facing small businesses across the country that often goes unnoticed until it suddenly rips through a firm's finances: employee theft. It's a crime that is costing U.S. businesses \$50 billion annually, according to Statistic Brain.

Matt Ham can afford to

Volkswagen agrees to record \$14.7 billion settlement over emissions cheating

Volkswagen's deliberate cheating on emissions tests will cost it a record \$14.7 billion. And that's just the start of its problems.

The settlement in the case, a criminal case for Clean Air Act violations, is the largest in the history of the federal government's criminal justice system. It is the largest settlement in the history of the federal government's criminal justice system. It is the largest settlement in the history of the federal government's criminal justice system.

Ex-Employees Accused of Racially Profiling Shopper

Albert Sorhaindo and

and racially profiles its Black and Hispanic shoppers based on the



EARLY WARNING

Help your organization address problems before they progress.



MEET STANDARDS

Enable an effective compliance program to meet regulatory standards set forth by USFSG, OECD and FCPA.



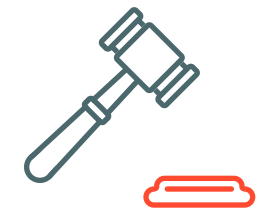
INCREASE TRUST

Increase employee trust in the entire process. Reduce fear of retaliation through prompt handling of allegations, keeping the reporter informed and always being transparent.



MINIMIZE RISK

Reduce financial and reputational losses. Identify potential risk areas for your business via standard reporting and robust analytics.



PREVENT LAWSUITS

Help prevent legal action against your company for negligence. Provide an alternative to whistleblowing.

BENEFITS



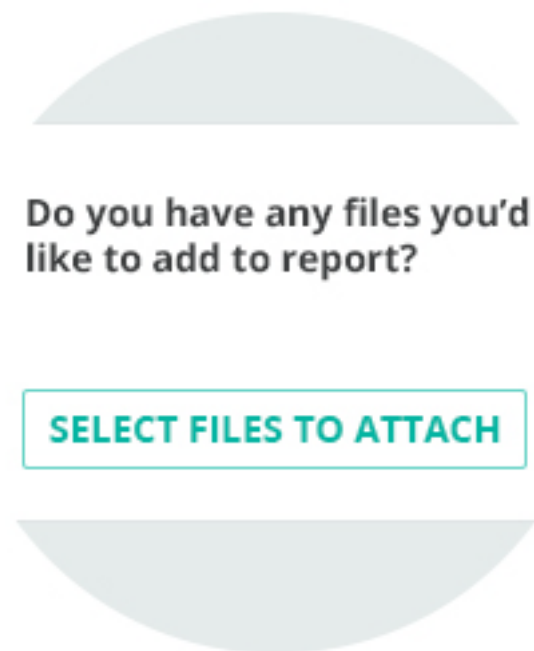
ONLINE & MOBILE REPORTING HOTLINE

- A platform to submit confidential or anonymous reports via web, tablet or mobile.
- An option to report in one of 11 different languages.
- Intuitive reporting interface that takes as little as 15 minutes to complete.

Eliminate the risk of employees complaining to the Department of Labor and customers venting on Yelp.



ONLINE & MOBILE REPORTING HOTLINE



Supporting documents can be attached (e.g. videos, photos, screenshots, documents).



Print and save a copy of the report.



Reporters can monitor progress and answer messages from case administrators while keeping their anonymity.

REPORTER DASHBOARD

- Check case status.
- Correspond confidentially or anonymously with case officers.
- Add additional evidence and information.

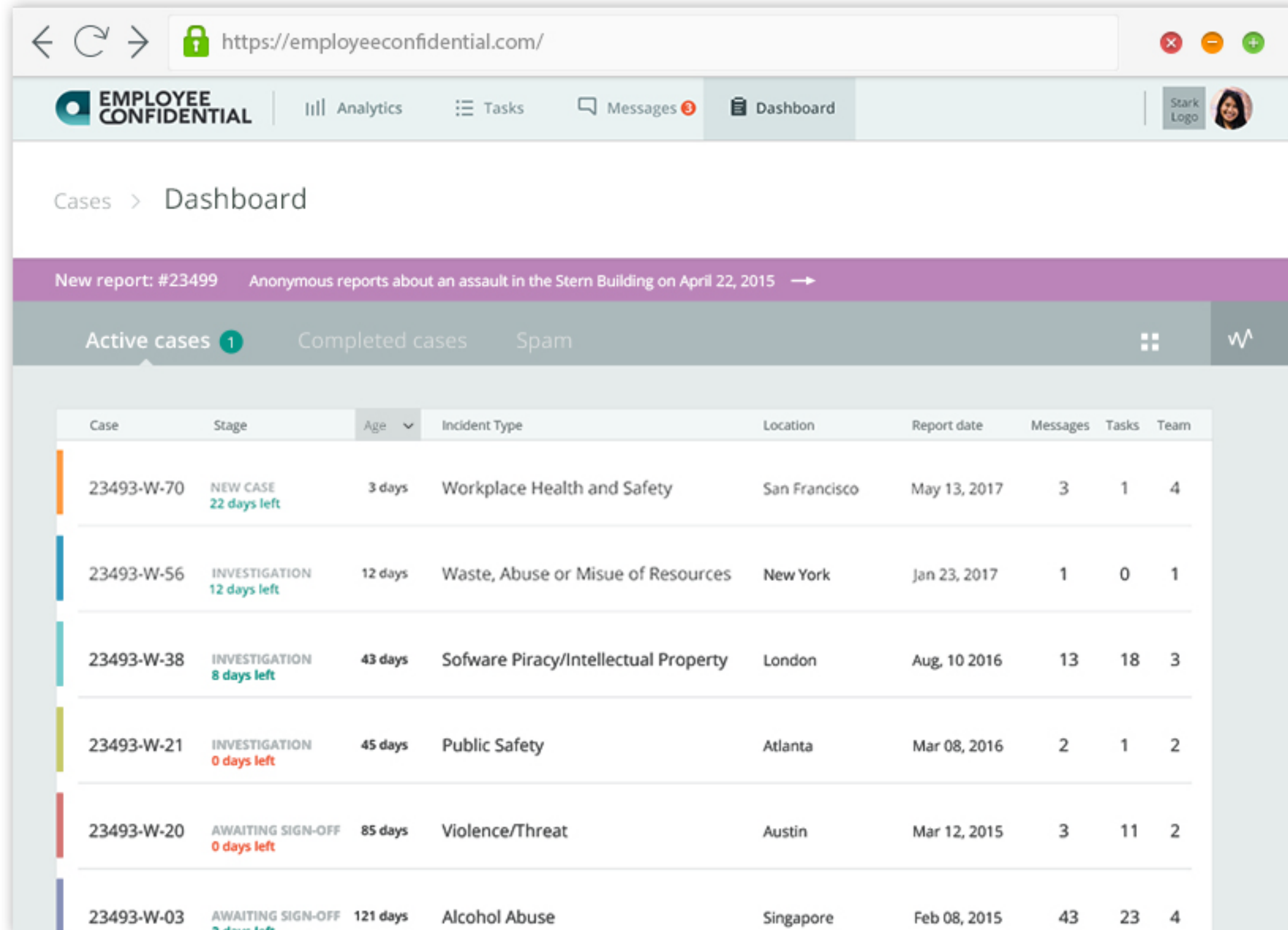


CASE MANAGEMENT

REVIEW CASE STATUS
IN DASHBOARD

No more searching for emails
and missing documentation
or evidence.

All the case information is
collected in a centralized
case file.



The screenshot shows a web browser window with the URL <https://employeeconfidential.com/>. The dashboard header includes the company logo, navigation links for Analytics, Tasks, Messages (3), and Dashboard, and a user profile for Stark Logo. The main content area is titled 'Cases > Dashboard' and features a purple banner for a new report: #23499, 'Anonymous reports about an assault in the Stern Building on April 22, 2015'. Below this, there are tabs for 'Active cases' (1), 'Completed cases', and 'Spam'. The 'Active cases' tab is selected, displaying a table of case details.

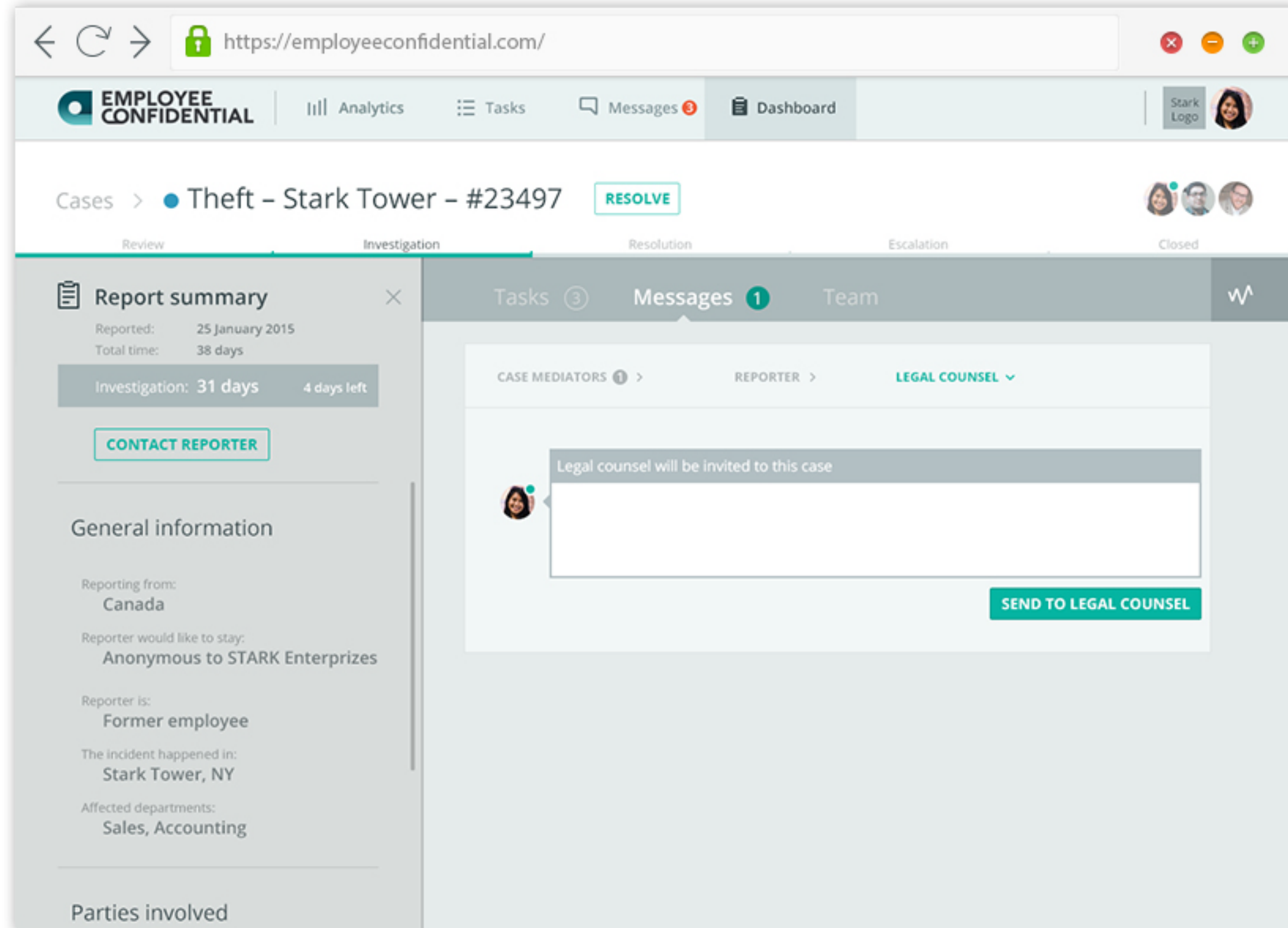
Case	Stage	Age	Incident Type	Location	Report date	Messages	Tasks	Team
23493-W-70	NEW CASE 22 days left	3 days	Workplace Health and Safety	San Francisco	May 13, 2017	3	1	4
23493-W-56	INVESTIGATION 12 days left	12 days	Waste, Abuse or Misue of Resources	New York	Jan 23, 2017	1	0	1
23493-W-38	INVESTIGATION 8 days left	43 days	Software Piracy/Intellectual Property	London	Aug, 10 2016	13	18	3
23493-W-21	INVESTIGATION 0 days left	45 days	Public Safety	Atlanta	Mar 08, 2016	2	1	2
23493-W-20	AWAITING SIGN-OFF 0 days left	85 days	Violence/Threat	Austin	Mar 12, 2015	3	11	2
23493-W-03	AWAITING SIGN-OFF 2 days left	121 days	Alcohol Abuse	Singapore	Feb 08, 2015	43	23	4

CASE MANAGEMENT

MESSAGE WITH REPORTERS
AND CASE ADMINISTRATORS

Discuss cases on a dedicated
message boards.

Messages are never deleted.

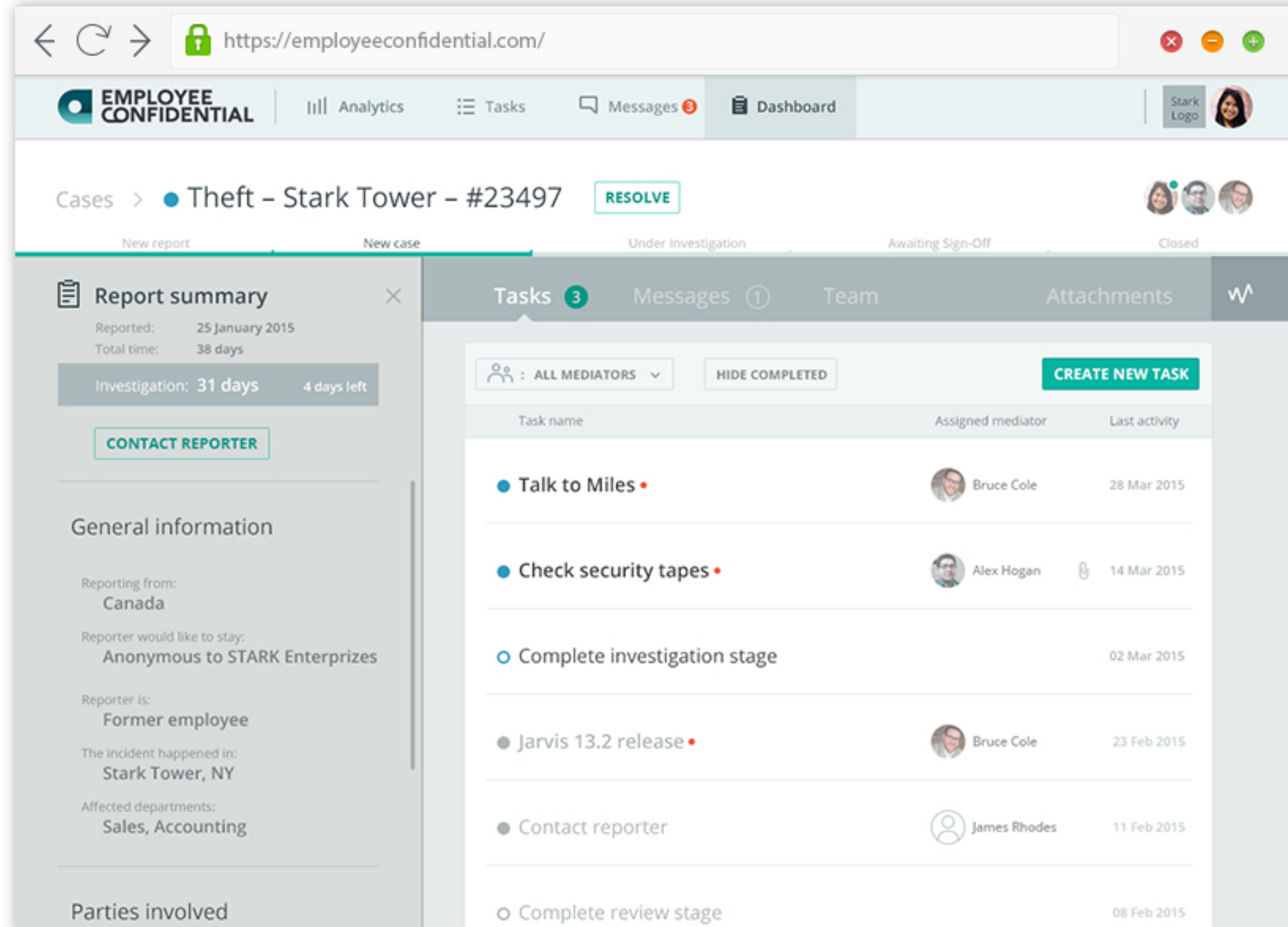


The screenshot displays the Employee Confidential Case Management web application. The browser address bar shows the URL <https://employeeconfidential.com/>. The top navigation bar includes the company logo, a menu with 'Analytics', 'Tasks', 'Messages' (with a red notification badge), and 'Dashboard'. A user profile for 'Stark Logo' is visible in the top right. The main content area is titled 'Cases > Theft - Stark Tower - #23497' and features a 'RESOLVE' button. Below the title is a horizontal tab bar with 'Review', 'Investigation' (selected), 'Resolution', 'Escalation', and 'Closed'. On the left, a 'Report summary' sidebar shows details: 'Reported: 25 January 2015', 'Total time: 38 days', and 'Investigation: 31 days' with '4 days left'. It includes a 'CONTACT REPORTER' button and a 'General information' section with fields for 'Reporting from: Canada', 'Reporter would like to stay: Anonymous to STARK Enterprizes', 'Reporter is: Former employee', 'The incident happened in: Stark Tower, NY', and 'Affected departments: Sales, Accounting'. The main panel on the right shows a 'Messages' view with tabs for 'Tasks', 'Messages' (selected), and 'Team'. It displays a message from 'LEGAL COUNSEL' stating 'Legal counsel will be invited to this case' and a 'SEND TO LEGAL COUNSEL' button.

CASE MANAGEMENT

TRACK TASKS

Task lists can be self-generated or assigned by case manager.



The screenshot displays the Employee Confidential web application interface. The top navigation bar includes the company logo, a search bar, and links to Analytics, Tasks, Messages (with a red notification badge), and Dashboard. The user profile 'Stark Logo' is visible in the top right. The main content area shows the case details for 'Theft - Stark Tower - #23497' with a 'RESOLVE' button. Below this, a tabbed interface shows 'New report', 'New case', 'Under Investigation', 'Awaiting Sign-Off', and 'Closed'. The 'Tasks' tab is active, showing a list of tasks with columns for Task name, Assigned mediator, and Last activity. A 'CREATE NEW TASK' button is in the top right of the task list. The left sidebar contains a 'Report summary' section with details like 'Reported: 25 January 2015', 'Total time: 38 days', and 'Investigation: 31 days 4 days left'. Below this is a 'CONTACT REPORTER' button. The 'General information' section includes 'Reporting from: Canada', 'Reporter would like to stay: Anonymous to STARK Enterprizes', 'Reporter is: Former employee', 'The incident happened in: Stark Tower, NY', and 'Affected departments: Sales, Accounting'. The 'Parties involved' section is at the bottom of the sidebar.

Employee Confidential

Analytics Tasks Messages 3 Dashboard

Cases > Theft - Stark Tower - #23497 RESOLVE

New report New case Under Investigation Awaiting Sign-Off Closed

Report summary

Reported: 25 January 2015
Total time: 38 days
Investigation: 31 days 4 days left
CONTACT REPORTER

General information

Reporting from: Canada
Reporter would like to stay: Anonymous to STARK Enterprizes
Reporter is: Former employee
The incident happened in: Stark Tower, NY
Affected departments: Sales, Accounting

Parties involved

Tasks 3 Messages 1 Team Attachments

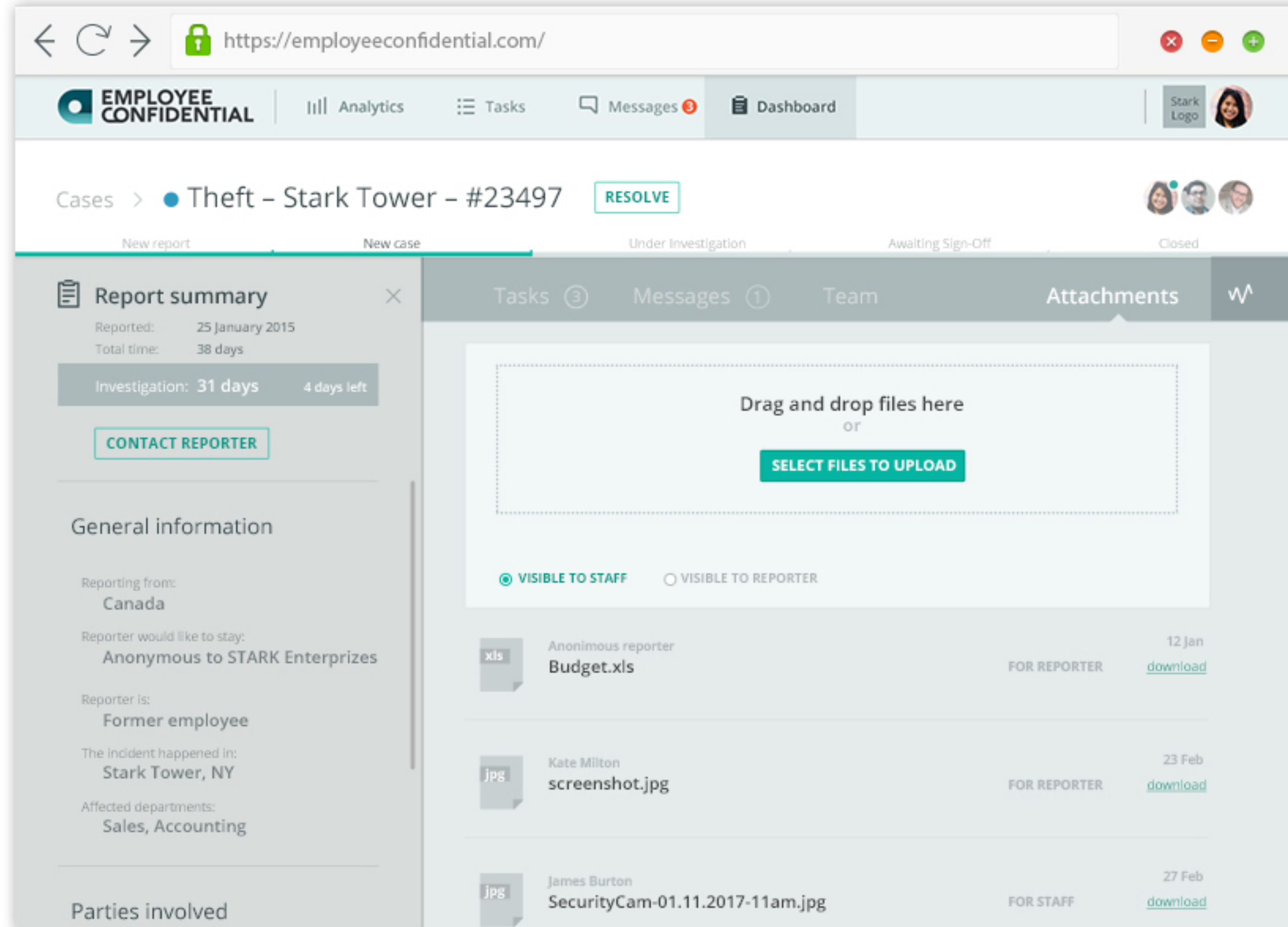
ALL MEDIATORS HIDE COMPLETED CREATE NEW TASK

Task name	Assigned mediator	Last activity
Talk to Miles	Bruce Cole	28 Mar 2015
Check security tapes	Alex Hogan	14 Mar 2015
Complete investigation stage		02 Mar 2015
Jarvis 13.2 release	Bruce Cole	23 Feb 2015
Contact reporter	James Rhodes	11 Feb 2015
Complete review stage		08 Feb 2015

CASE MANAGEMENT

ATTACH EVIDENCE

Keep auditable records of all supporting evidence with easy drag-and-drop uploads.



The screenshot displays the Employee Confidential Case Management interface. The top navigation bar includes the company logo, a search bar, and links to Analytics, Tasks, Messages (3), and Dashboard. The user profile 'Stark Logo' is visible in the top right. The main content area shows a case titled 'Theft - Stark Tower - #23497' with a 'RESOLVE' button. Below the title, there are tabs for 'New report', 'New case', 'Under Investigation', 'Awaiting Sign-Off', and 'Closed'. The 'Report summary' sidebar on the left provides details about the case, including the date reported (25 January 2015), total time (38 days), and investigation progress (31 days, 4 days left). It also includes a 'CONTACT REPORTER' button and sections for 'General information' and 'Parties involved'. The 'Attachments' panel on the right shows a list of files uploaded, including 'Budget.xls' (Anonymous reporter, 12 Jan), 'screenshot.jpg' (Kate Milton, 23 Feb), and 'SecurityCam-01.11.2017-11am.jpg' (James Burton, 27 Feb). Each attachment has a 'download' link and a status indicating it is 'FOR REPORTER' or 'FOR STAFF'.

Employee Confidential

Analytics Tasks Messages 3 Dashboard

Cases > Theft - Stark Tower - #23497 RESOLVE

New report New case Under Investigation Awaiting Sign-Off Closed

Report summary

Reported: 25 January 2015
Total time: 38 days
Investigation: 31 days 4 days left
CONTACT REPORTER

General information

Reporting from: Canada
Reporter would like to stay: Anonymous to STARK Enterprizes
Reporter is: Former employee
The incident happened in: Stark Tower, NY
Affected departments: Sales, Accounting

Parties involved

Attachments

Drag and drop files here or
SELECT FILES TO UPLOAD

VISIBLE TO STAFF VISIBLE TO REPORTER

Budget.xls Anonymous reporter 12 Jan
FOR REPORTER download

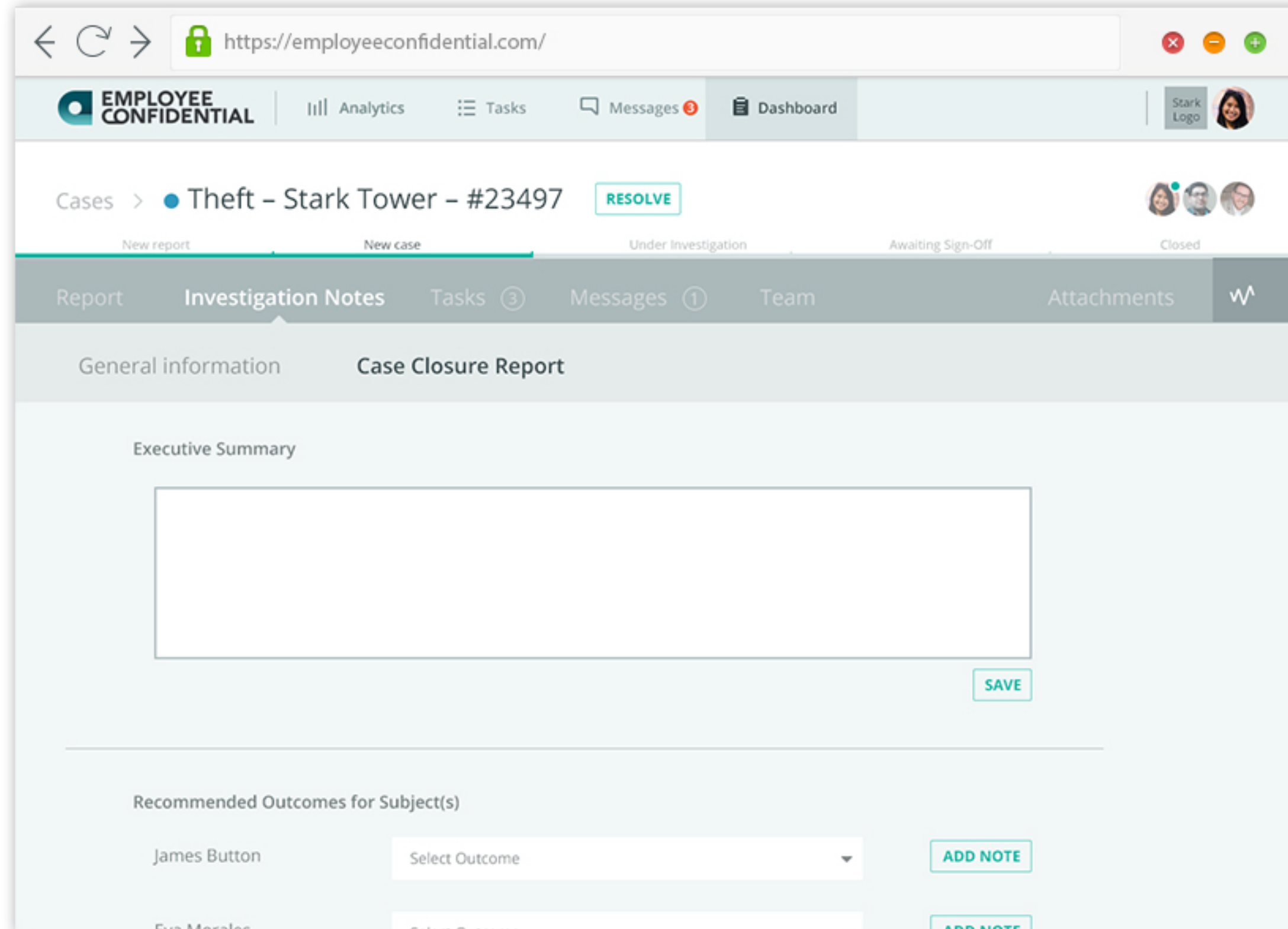
screenshot.jpg Kate Milton 23 Feb
FOR REPORTER download

SecurityCam-01.11.2017-11am.jpg James Burton 27 Feb
FOR STAFF download

CASE MANAGEMENT

RECORD INVESTIGATION
NOTES AND DOCUMENT
ROUTE CAUSE OF INCIDENT
AND SUBJECT

Track and report on the behaviors,
organizational influences
and environmental factors
that drive misconduct.



The screenshot displays the Employee Confidential Case Management web application. The browser address bar shows the URL <https://employeeconfidential.com/>. The application header includes the company logo, navigation links for Analytics, Tasks, Messages (with a red notification badge), and Dashboard. A user profile for 'Stark Logo' is visible in the top right corner.

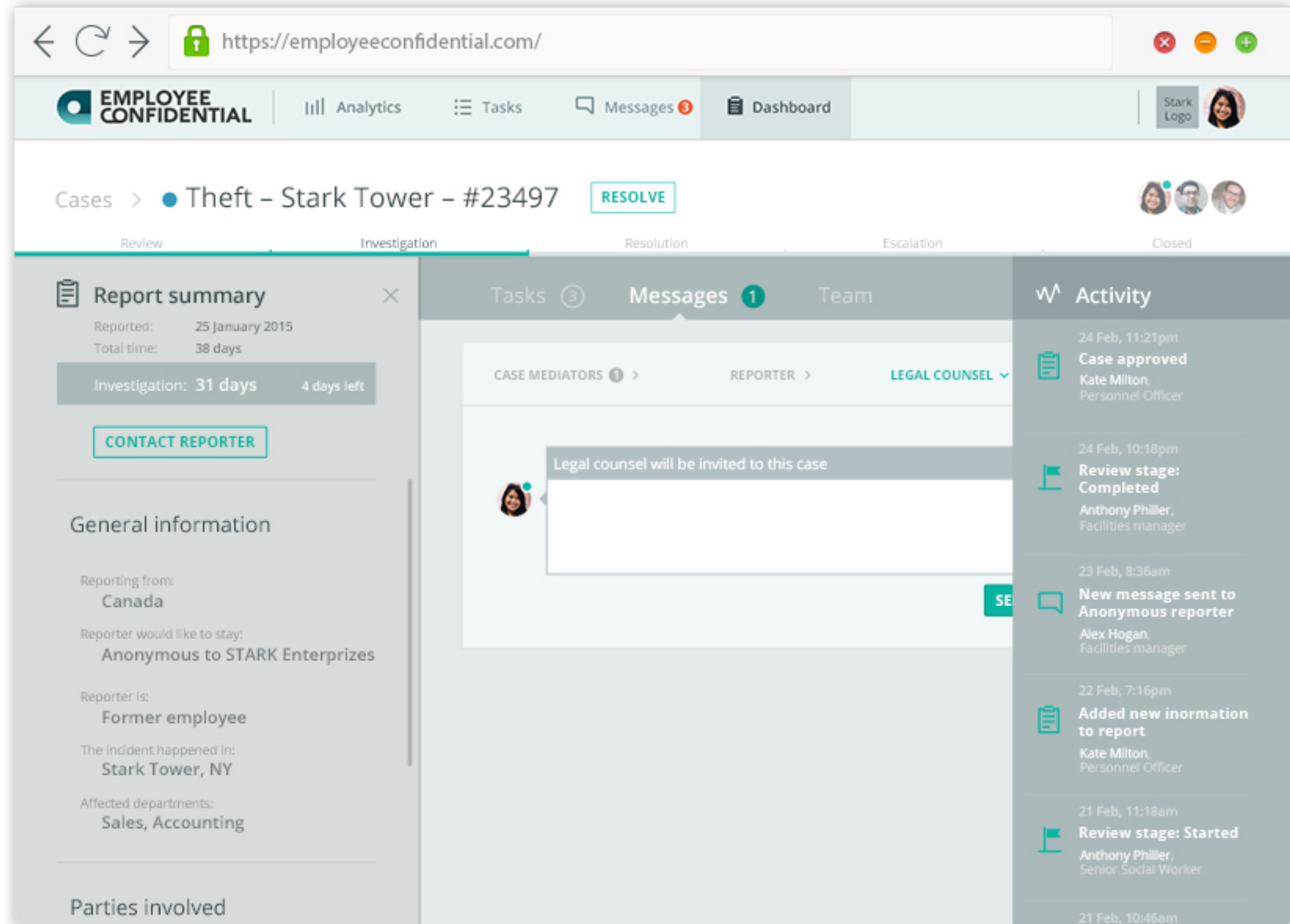
The main content area is titled 'Cases > Theft - Stark Tower - #23497' and features a 'RESOLVE' button. Below the title, there are tabs for 'New report', 'New case', 'Under Investigation', 'Awaiting Sign-Off', and 'Closed'. A secondary navigation bar contains 'Report', 'Investigation Notes' (the active tab), 'Tasks' (with a badge of 3), 'Messages' (with a badge of 1), 'Team', and 'Attachments'.

Under the 'Investigation Notes' tab, there are two sub-sections: 'General information' and 'Case Closure Report'. The 'Case Closure Report' section contains an 'Executive Summary' with a large text input area and a 'SAVE' button. Below this, the 'Recommended Outcomes for Subject(s)' section lists two subjects: 'James Button' and 'Eva Morales'. Each subject has a 'Select Outcome' dropdown menu and an 'ADD NOTE' button.

CASE MANAGEMENT

TIMELINE OF INVESTIGATION ACTIVITY

Case activity is automatically
logged with date & time stamp



The screenshot displays the Employee Confidential Case Management system. The top navigation bar includes the company logo, 'Analytics', 'Tasks', 'Messages' (with a red notification badge), and 'Dashboard'. The user profile 'Stark Logo' is visible in the top right.

The main content area shows the case 'Theft - Stark Tower - #23497' with a 'RESOLVE' button. Below the case title is a progress bar with stages: Review, Investigation (active), Resolution, Escalation, and Closed.

The left sidebar contains a 'Report summary' section with the following details:

- Reported: 25 January 2015
- Total time: 38 days
- Investigation: 31 days (4 days left)
- [CONTACT REPORTER](#)

The 'General information' section includes:

- Reporting from: Canada
- Reporter would like to stay: Anonymous to STARK Enterprizes
- Reporter is: Former employee
- The incident happened in: Stark Tower, NY
- Affected departments: Sales, Accounting

The 'Parties involved' section is partially visible at the bottom.

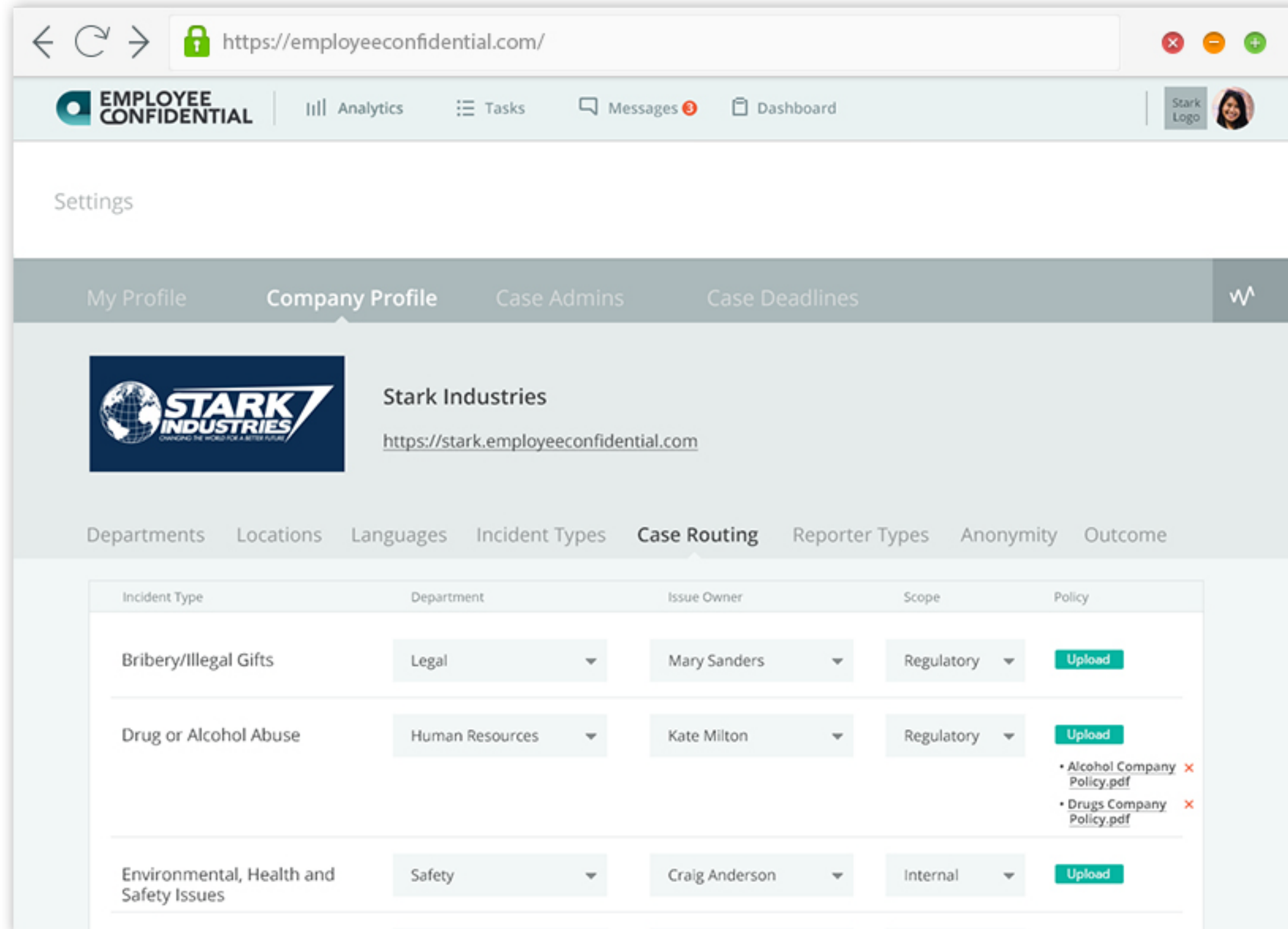
The central pane shows the 'Messages' tab with a message from 'LEGAL COUNSEL' stating: 'Legal counsel will be invited to this case'.

The right-hand 'Activity' timeline lists the following events:

- 24 Feb, 11:21pm: Case approved (Kate Milton, Personnel Officer)
- 24 Feb, 10:18pm: Review stage: Completed (Anthony Philler, Facilities manager)
- 23 Feb, 8:36am: New message sent to Anonymous reporter (Alex Hogan, Facilities manager)
- 22 Feb, 7:16pm: Added new information to report (Kate Milton, Personnel Officer)
- 21 Feb, 11:18am: Review stage: Started (Anthony Philler, Senior Social Worker)
- 21 Feb, 10:46am: (Event partially visible)

COMPLIANCE POLICY MANAGEMENT

- Assign case administrators according to the type of incident and location.
- Flag whether an incident type is a regulatory infringement.
- Link compliance and HR procedural policies to incident types for easy access during the investigation and resolution process.



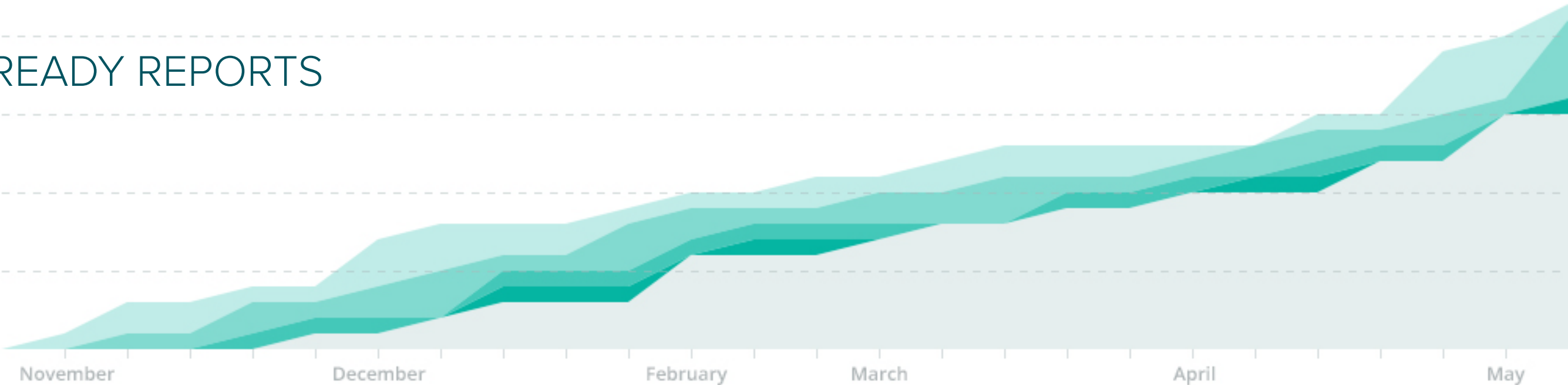
The screenshot displays the 'Employee Confidential' web application. The top navigation bar includes the company logo, 'Analytics', 'Tasks', 'Messages' (with a red notification badge), and 'Dashboard'. The user profile 'Stark Logo' is visible in the top right. The main content area is titled 'Settings' and features a tabbed interface with 'My Profile', 'Company Profile' (selected), 'Case Admins', and 'Case Deadlines'. Under 'Company Profile', the 'Stark Industries' logo and name are shown, along with the URL 'https://stark.employeeconfidential.com'. Below this, a horizontal menu lists various settings: 'Departments', 'Locations', 'Languages', 'Incident Types', 'Case Routing' (selected), 'Reporter Types', 'Anonymity', and 'Outcome'. The 'Case Routing' section contains a table with columns for 'Incident Type', 'Department', 'Issue Owner', 'Scope', and 'Policy'.

Incident Type	Department	Issue Owner	Scope	Policy
Bribery/Illegal Gifts	Legal	Mary Sanders	Regulatory	Upload
Drug or Alcohol Abuse	Human Resources	Kate Milton	Regulatory	Upload • Alcohol Company Policy.pdf • Drugs Company Policy.pdf
Environmental, Health and Safety Issues	Safety	Craig Anderson	Internal	Upload

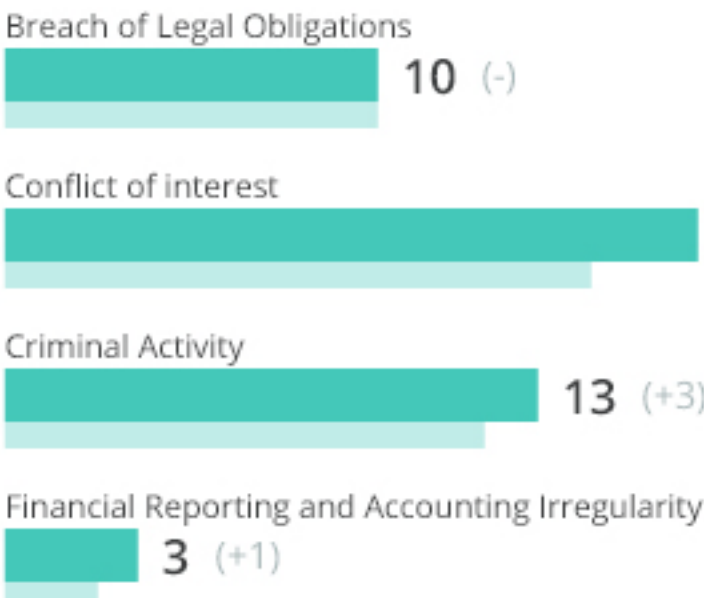
ANALYTICS

CREATE CEO & BOARD-READY REPORTS

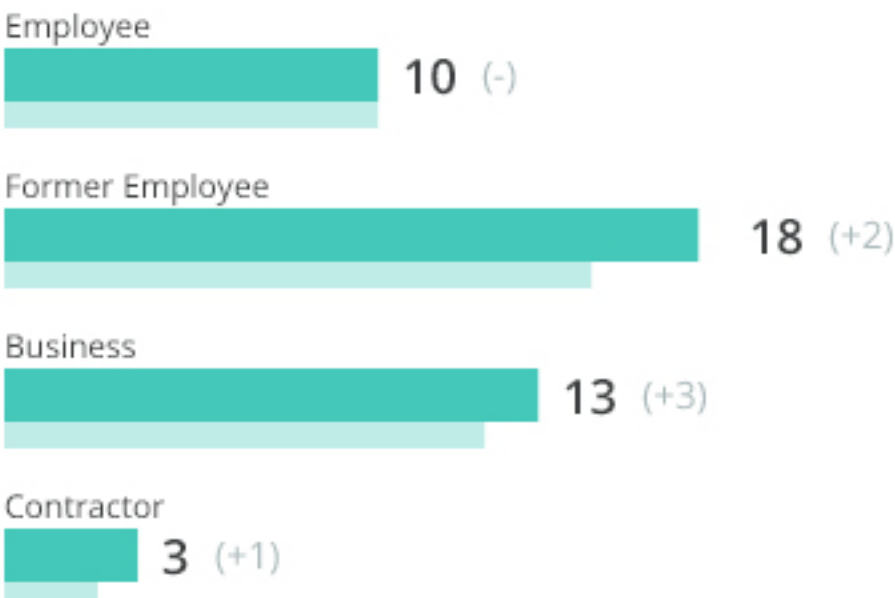
- Stages of all cases.
- Case activity by location and department.
- Number of cases by reporter and incident type.



Type of incident



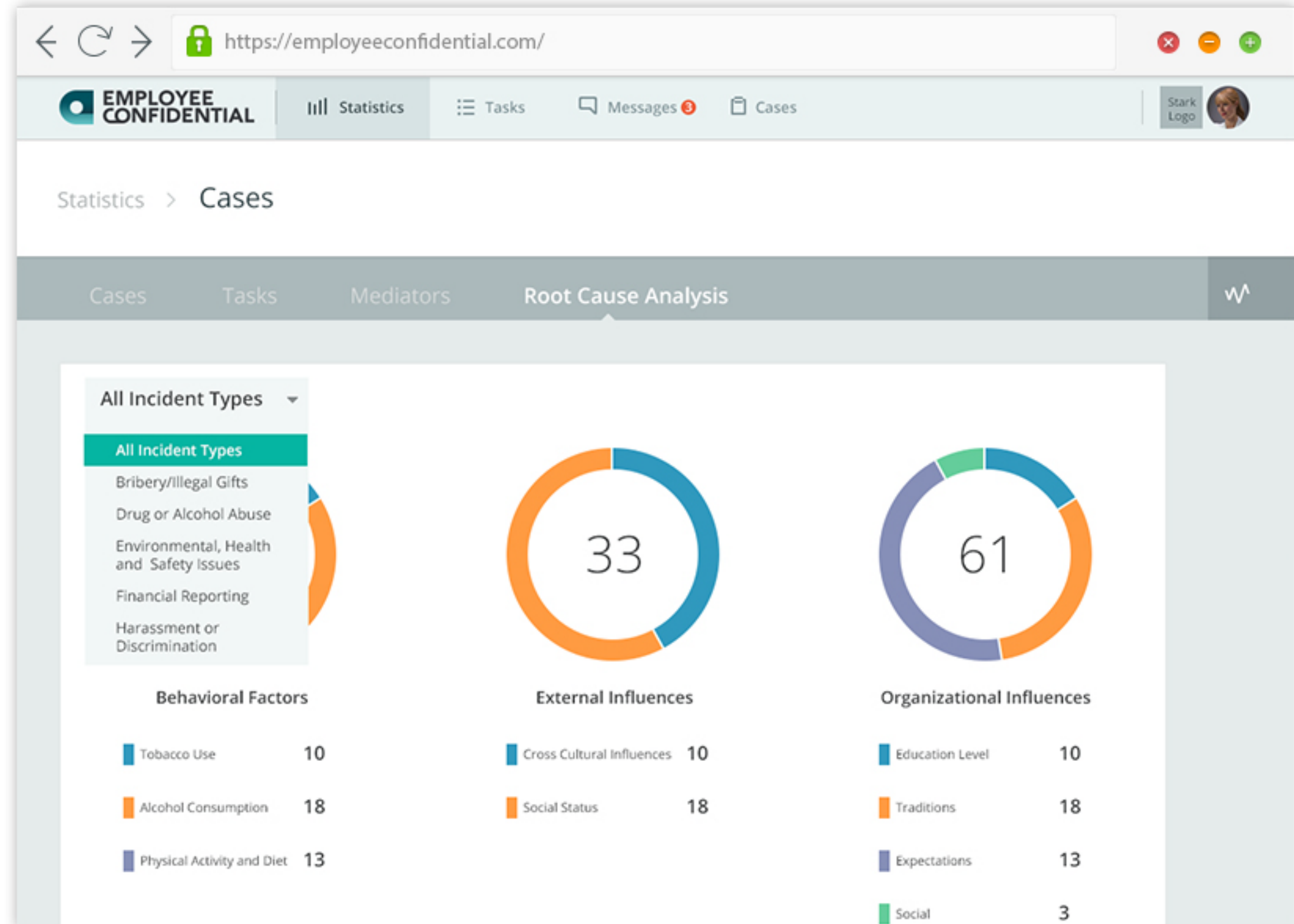
Reporter



ANALYTICS

ROOT CAUSE ANALYSIS

Track and report on the behaviors, organizational influences and environmental factors that drive misconduct.



EMPLOYEE AWARENESS

EVERY CLIENT RECEIVES AWARENESS MATERIALS
TAILORED FOR THEIR INDUSTRY
AND TARGET MARKET

- Downloadable posters for placement in common areas.
- Downloadable wallet-size cards.
- Website & email buttons.





**EMPLOYEE
CONFIDENTIAL**

REDUCE RISK. CREATE TRUST.

sales@employeeconfidential.com