

***For Use By Compliance Officer***

***Method of Reporting (Check One):***

Voice Mail / Telephone \_\_\_\_\_

Meeting \_\_\_\_\_

Interoffice Mail \_\_\_\_\_

Report #: \_\_\_\_\_

Electronic Mail \_\_\_\_\_

Hot-Line Voice Mail \_\_\_\_\_

Anonymous Report # Assigned by XYZ's Director of Compliance: \_\_\_\_\_

Receiver of Report (Name): \_\_\_\_\_

Compliance Officer (Name): \_\_\_\_\_

Signature: \_\_\_\_\_

Director of Compliance (Name): \_\_\_\_\_

Signature: \_\_\_\_\_

***Compliance Report of Suspected Violation(s)***

Unless you wish to remain anonymous, please complete the following:

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Department: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Home Address: \_\_\_\_\_

Home Telephone: \_\_\_\_\_

Work Telephone: \_\_\_\_\_

1. Description of possible violation:

2. When did this occur?

3. Person(s) involved?

4. How did you come to learn of the incident(s)/practice(s) described above?

5. Do you have any evidence to prove the allegation(s)? If so, please describe:

6. Would you be willing to discuss the allegation(s) with an attorney for the company?

7. Have you discussed the allegation(s) with anyone else? If so, who?

8. Do you have any further information to provide or any suggestions for verifying the allegation(s)?

9. Are you aware of any other individuals who may be able to provide further information regarding the above allegation(s)?