

REDUCE RISK. CREATE TRUST.





INCIDENT REPORTING & 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

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 criminal justice system. It is the largest settlement in the history of the federal criminal justice system.

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.

Ex-Employees Accuse Company of Racially Profiling Shopper

Albert Sorhaindo and worked as

and racially profiles its Black and Hispanic shoppers based on the

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

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 attract



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, including the new anti-harassment laws.



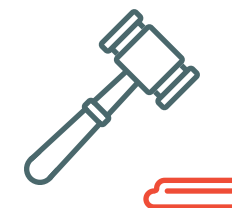
INCREASE TRUST

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



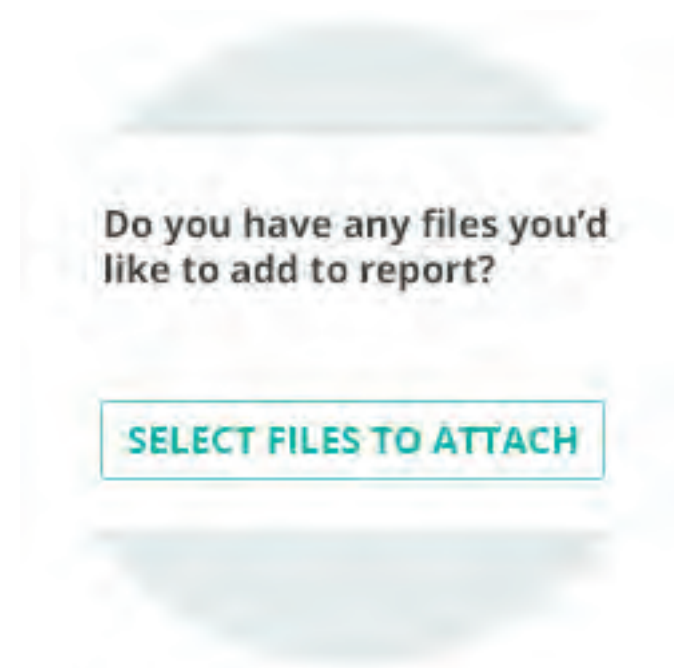
ONLINE & MOBILE REPORTING HOTLINE

- 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).



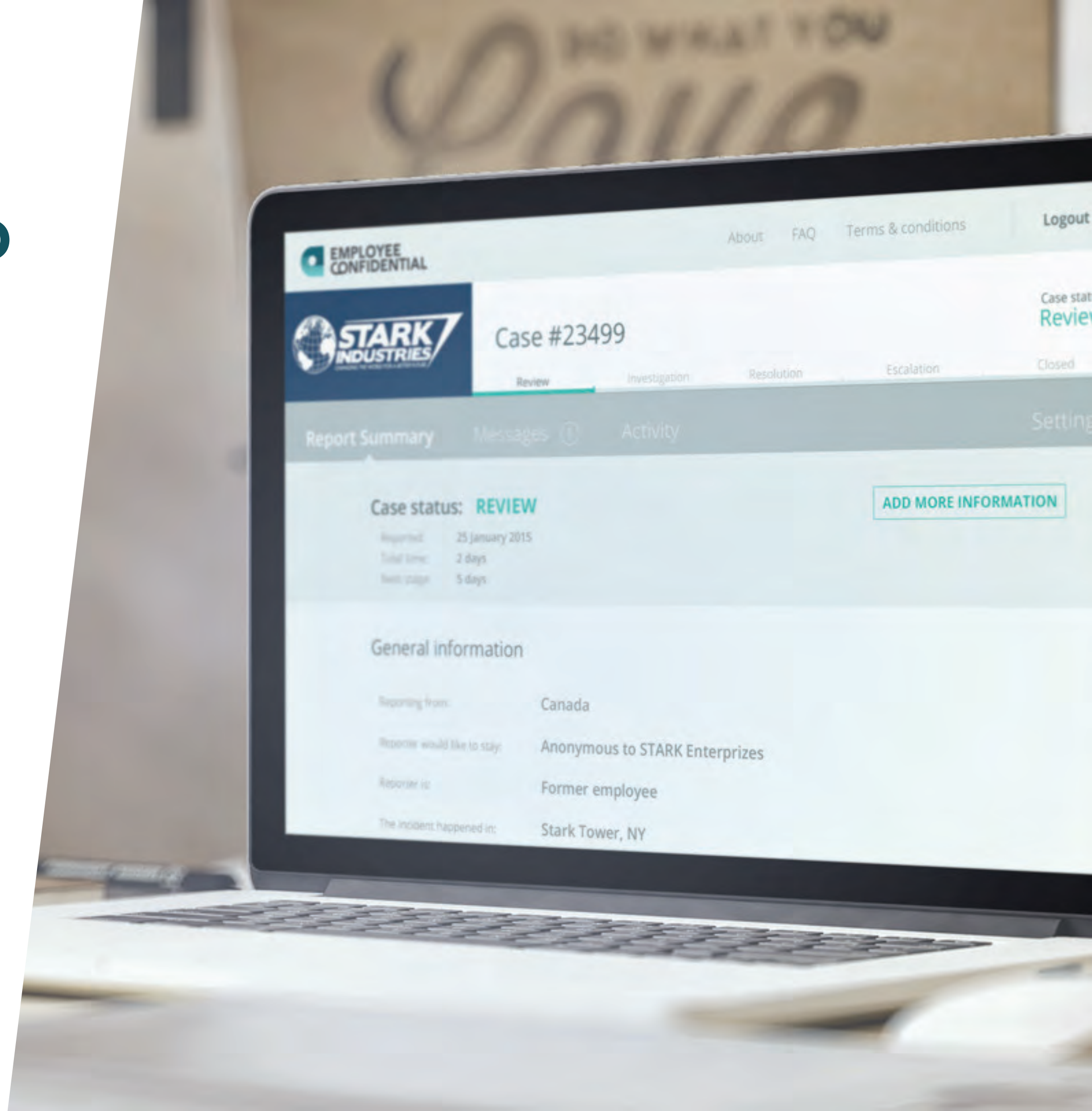
Print and save a copy of the report.



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.

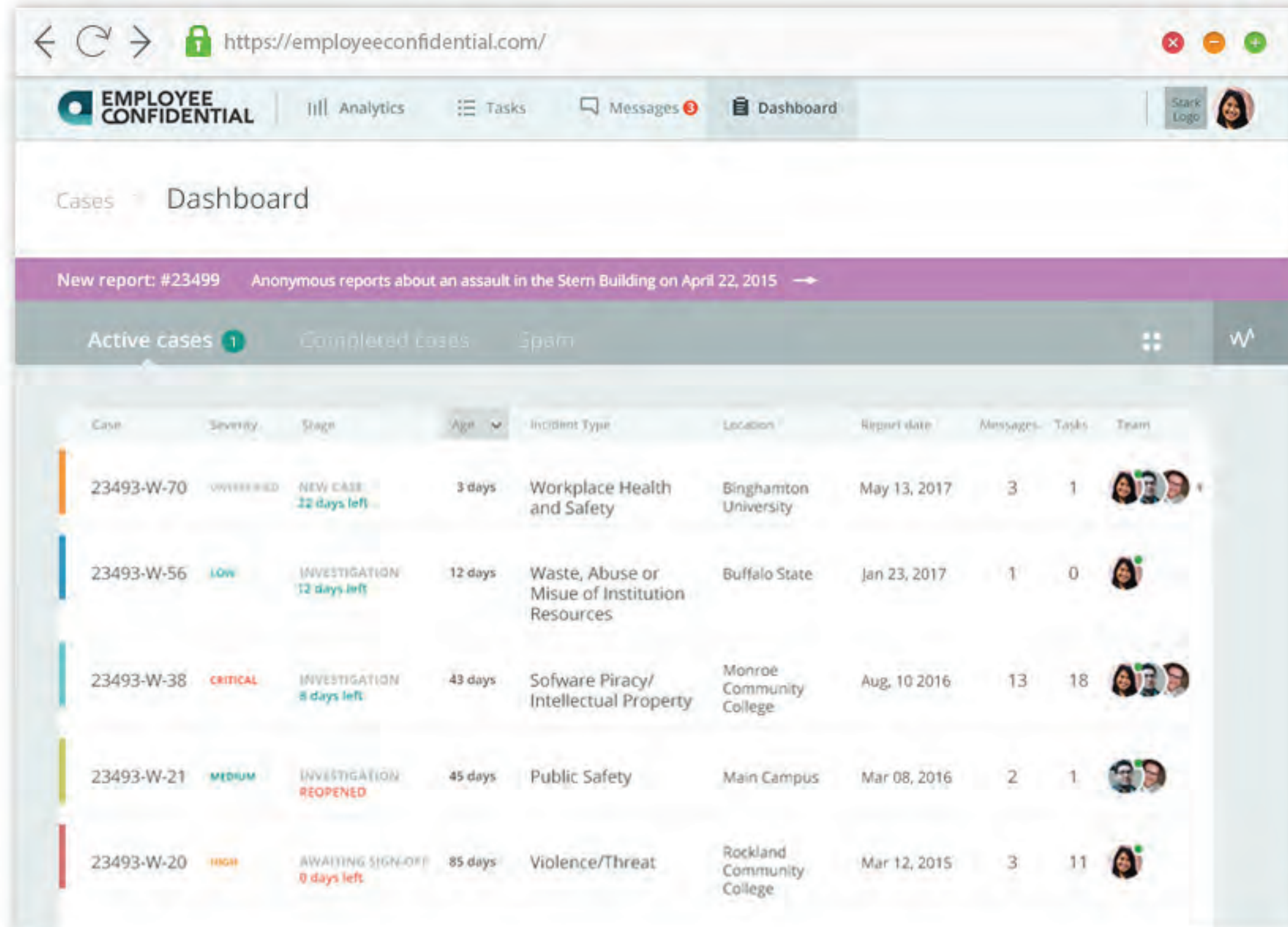


CASE MANAGEMENT






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 the Employee Confidential dashboard. At the top, there's a navigation bar with the company logo, 'Analytics', 'Tasks', 'Messages' (with a red notification badge), and 'Dashboard'. Below this, a purple banner displays a 'New report: #23499' with the text 'Anonymous reports about an assault in the Stern Building on April 22, 2015'. Underneath the banner, there are tabs for 'Active cases' (with a green badge showing '1'), 'Completed cases', and 'Spam'. The main content area is a table of active cases with columns for Case, Severity, Stage, Age, Incident Type, Location, Report date, Messages, Tasks, and Team.

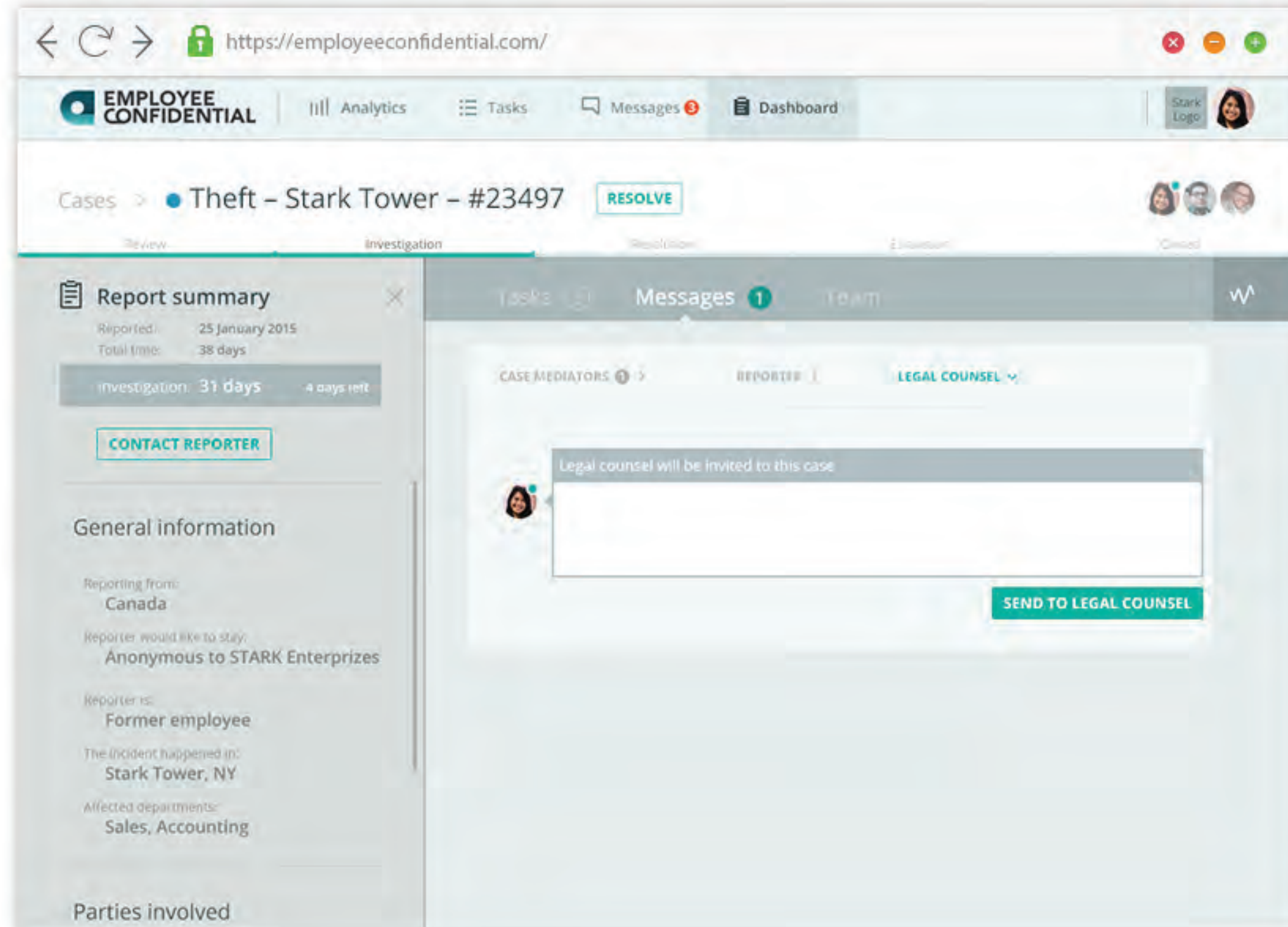
Case	Severity	Stage	Age	Incident Type	Location	Report date	Messages	Tasks	Team
23493-W-70	UNRECORDED	NEW CASE 22 days left	3 days	Workplace Health and Safety	Binghamton University	May 13, 2017	3	1	
23493-W-56	LOW	INVESTIGATION 12 days left	12 days	Waste, Abuse or Misue of Institution Resources	Buffalo State	Jan 23, 2017	1	0	
23493-W-38	CRITICAL	INVESTIGATION 8 days left	43 days	Software Piracy/ Intellectual Property	Monroe Community College	Aug. 10 2016	13	18	
23493-W-21	MEDIUM	INVESTIGATION REOPENED	45 days	Public Safety	Main Campus	Mar 08, 2016	2	1	
23493-W-20	HIGH	AWAITING SIGN-OFF 0 days left	85 days	Violence/Threat	Rockland Community College	Mar 12, 2015	3	11	

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 web application interface for case management. 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 corner.

The main content area is titled 'Cases' and shows a specific case: 'Theft - Stark Tower - #23497'. A 'RESOLVE' button is present next to the case title. Below the title, there are tabs for 'Review', 'Investigation' (which is active), 'Resolution', and 'Escalation'. On the right side of this section, there are icons for 'View', 'Share', and 'Close'.

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)

A 'CONTACT REPORTER' button is located below the summary. The 'General information' section lists:

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

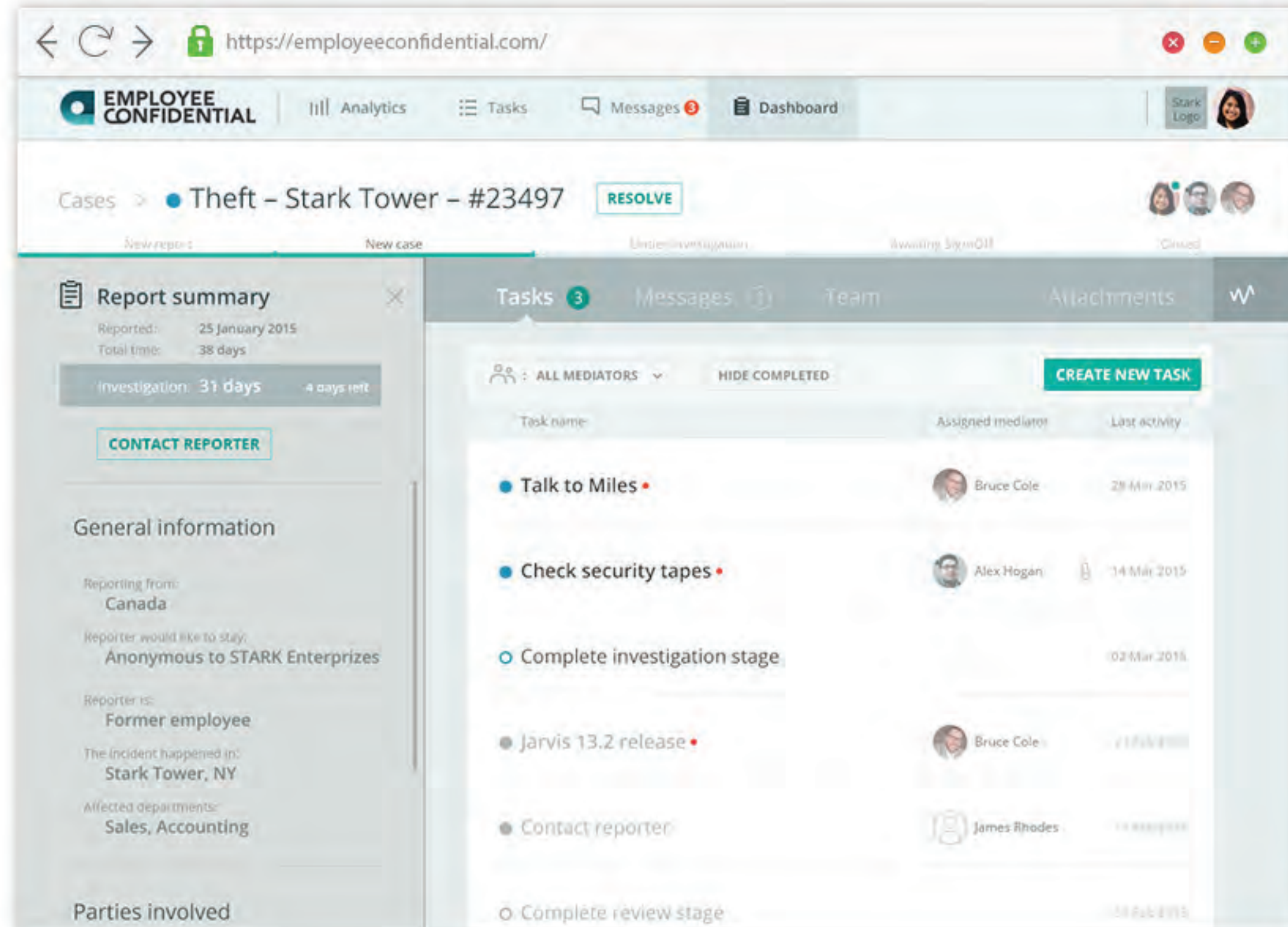
The bottom of the sidebar is labeled 'Parties involved'.

The right sidebar shows a 'Messages' section with a '1' badge. It lists participants: 'CASE MEDIATORS', 'REPORTER', and 'LEGAL COUNSEL'. A message from the reporter states: 'Legal counsel will be invited to this case'. A 'SEND TO LEGAL COUNSEL' button is at the bottom right of the message area.

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's profile is visible in the top right corner.

The main content area shows the case details for "Theft - Stark Tower - #23497". A "RESOLVE" button is present. Below the case title, there are tabs for "New report", "New case", "Under investigation", "Waiting for input", 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 button
- General information:
 - Reporting from: Canada
 - Reporter would like to stay: Anonymous to STARK Enterprises
 - Reporter is: Former employee
 - The incident happened in: Stark Tower, NY
 - Affected departments: Sales, Accounting
- Parties involved

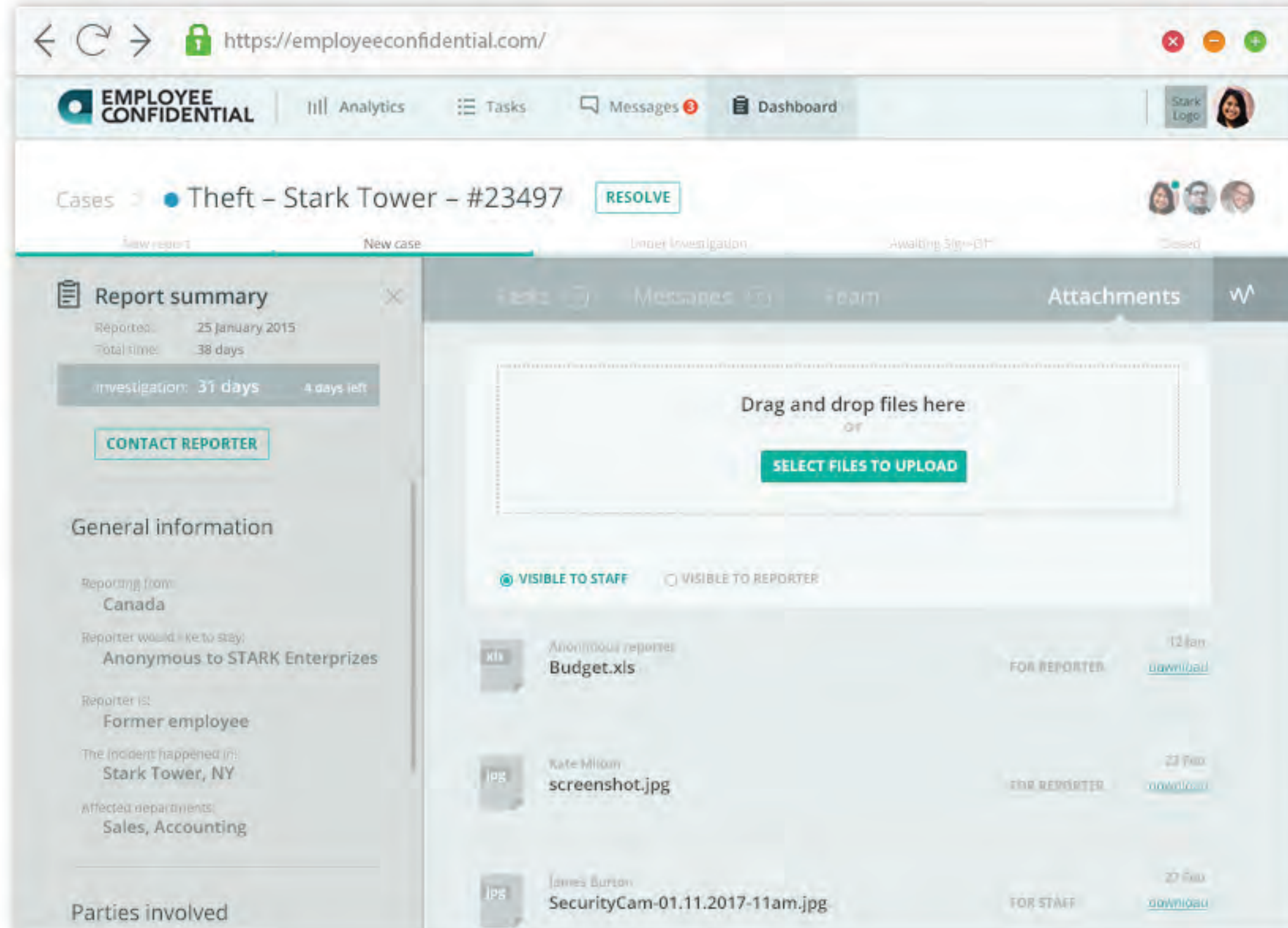
The right sidebar shows a "Tasks" section with a "CREATE NEW TASK" button. The task list is filtered by "ALL MEDIATORS" and "HIDE COMPLETED". The tasks are as follows:

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	17 Feb 2015
● Contact reporter	James Rhodes	16 Mar 2015
○ Complete review stage		15 Feb 2015

CASE MANAGEMENT

ATTACH EVIDENCE

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

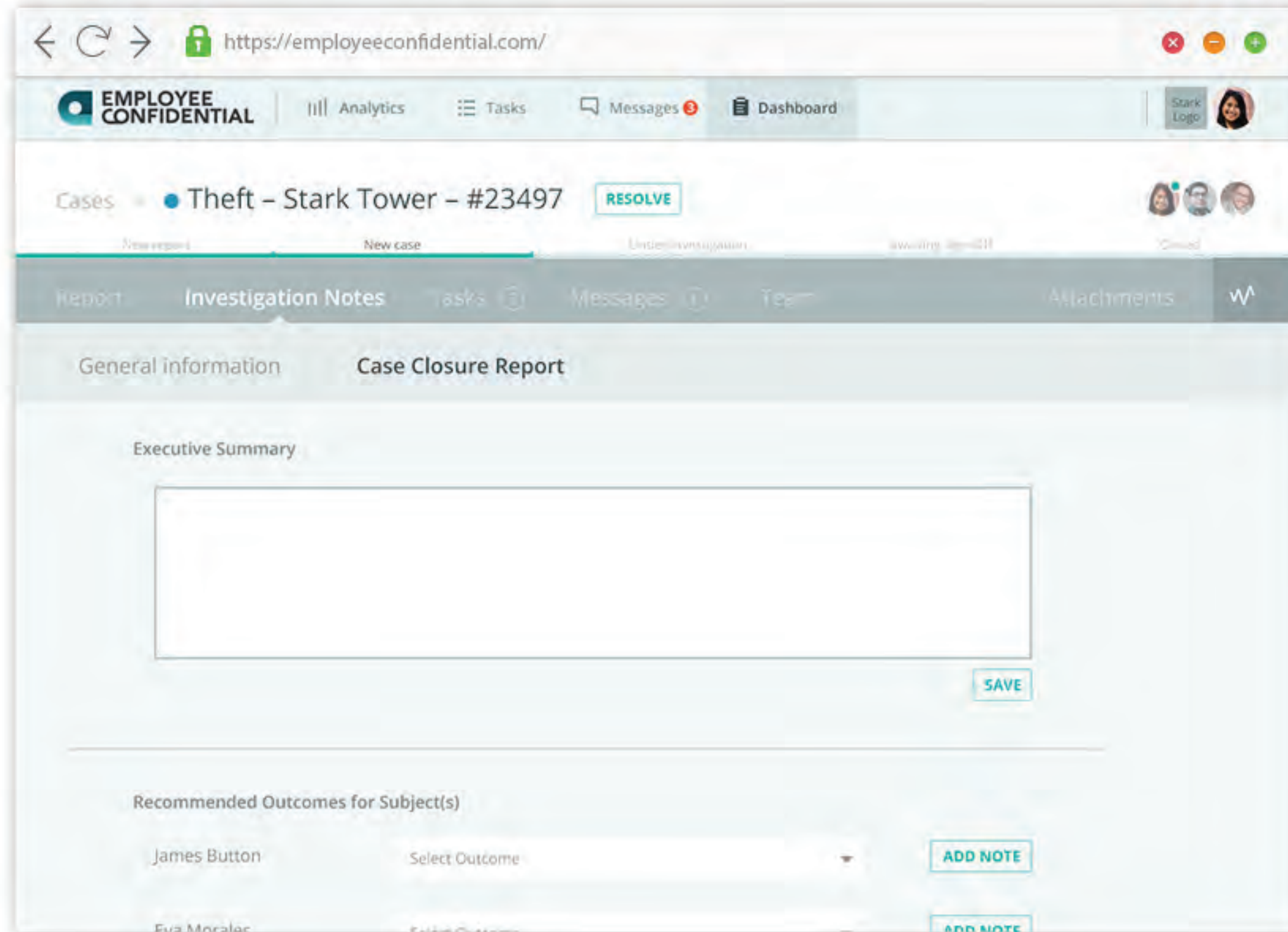


The screenshot displays the Employee Confidential Case Management interface. The top navigation bar includes the company logo, navigation links for Analytics, Tasks, Messages (with a red notification badge), and Dashboard, along with a user profile for Stark Logo. The main header shows the current case: "Cases > Theft - Stark Tower - #23497" with a "RESOLVE" button. Below the header, a tabbed interface shows "New report", "New case", "Under investigation", "Awaiting 3/11/2017", and "Closed". The "Attachments" tab is active, showing a "Drag and drop files here" area with a "SELECT FILES TO UPLOAD" button. Below this, there are radio buttons for "VISIBLE TO STAFF" (selected) and "VISIBLE TO REPORTER". A list of attachments is shown, including "Anonymous report Budget.xls" (12 Jan, FOR REPORTER, download), "Kate Mison screenshot.jpg" (23 Feb, FOR REPORTER, download), and "James Burton SecurityCam-01.11.2017-11am.jpg" (20 Feb, FOR STAFF, download). On the left, a "Report summary" sidebar shows details: Reported on 25 January 2015, Total time 38 days, Investigation 31 days (4 days left), and a "CONTACT REPORTER" button. The "General information" section lists: Reporting from Canada, Reporter would like to stay: Anonymous to STARK Enterprises, Reporter is: Former employee, The incident happened in: Stark Tower, NY, and Affected departments: Sales, Accounting. The "Parties involved" section is partially visible at the bottom.

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 web application interface. The browser address bar shows the URL <https://employeeconfidential.com/>. The top navigation bar includes the company logo, a search bar, and 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' and shows a specific case: 'Theft - Stark Tower - #23497'. A 'RESOLVE' button is located next to the case title. Below the case title, there are tabs for 'New report', 'New case', 'Under review', 'Waiting', and 'Closed'. The 'Investigation Notes' tab is currently selected.

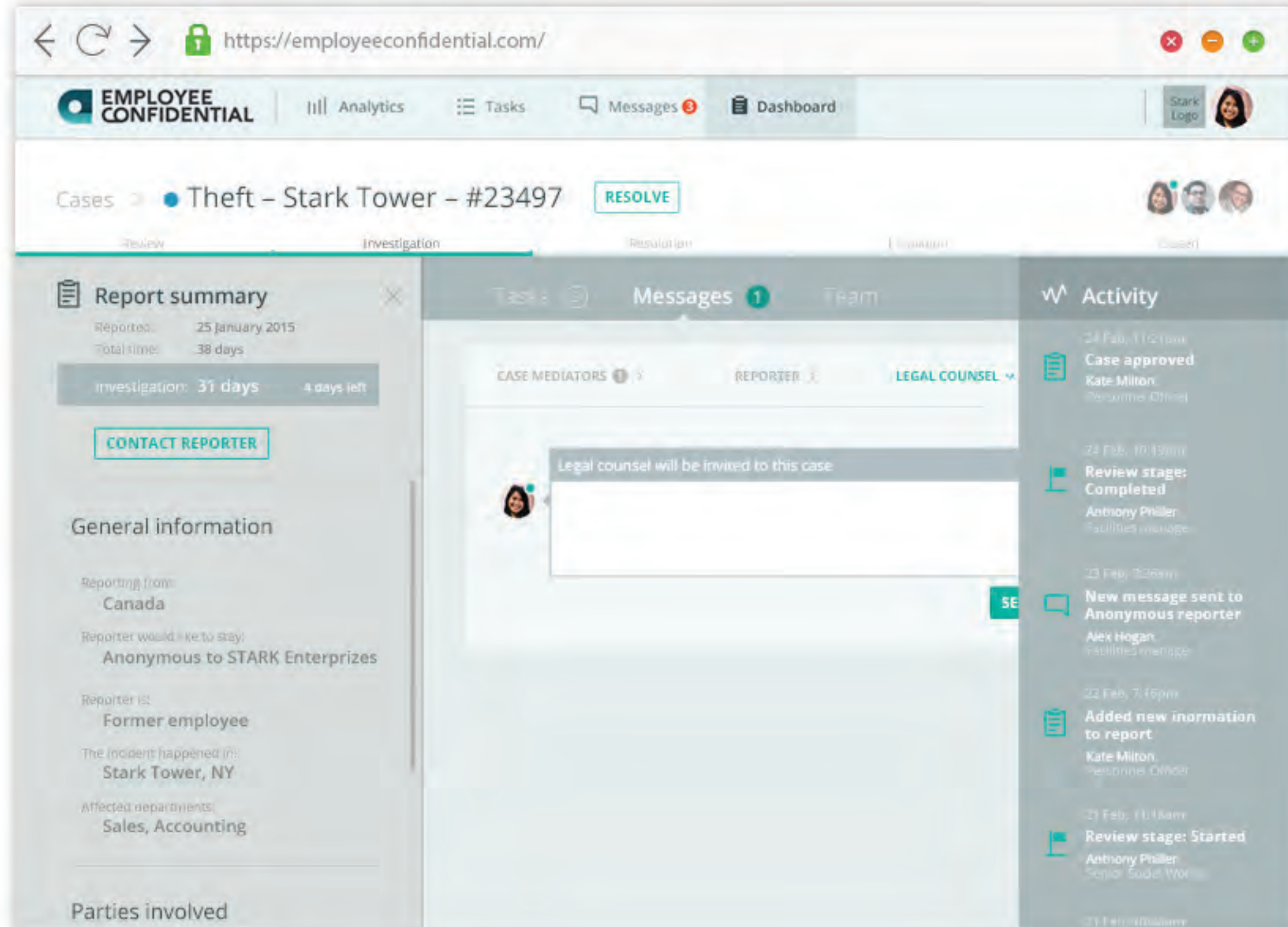
Within the 'Investigation Notes' tab, there are two sub-tabs: 'General information' and 'Case Closure Report'. The 'Case Closure Report' sub-tab is active, showing an 'Executive Summary' section with a large text input area and a 'SAVE' button. Below this, there is a section titled 'Recommended Outcomes for Subject(s)' which contains a table with two rows:

Subject	Outcome	Action
James Button	Select Outcome	<button>ADD NOTE</button>
Eva Morales	Select Outcome	<button>ADD NOTE</button>

CASE MANAGEMENT

TIMELINE OF INVESTIGATION ACTIVITY

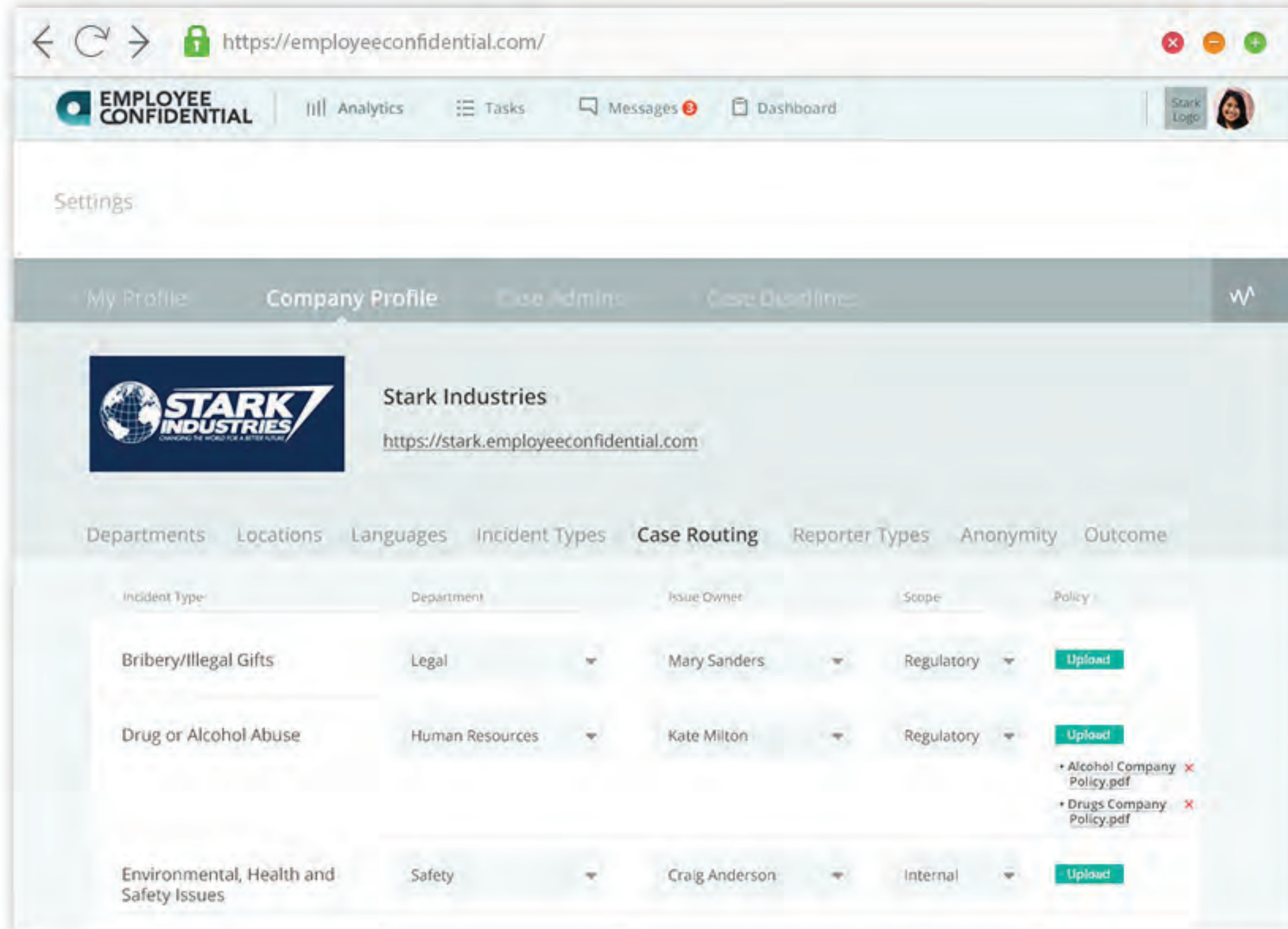
Case activity is automatically
logged with date & time stamp



The screenshot displays the Employee Confidential Case Management interface. 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 header shows the case title 'Theft - Stark Tower - #23497' with a 'RESOLVE' button. Below the header, a tabbed interface shows 'Report summary', 'Messages', and 'Team'. The 'Report summary' tab is active, displaying a timeline of the investigation: 'Reported: 25 January 2015', 'Total time: 38 days', and 'Investigation: 31 days' (with '4 days left'). A 'CONTACT REPORTER' button is present. The 'General information' section lists: 'Reporting from: Canada', 'Reporter would like to stay: Anonymous to STARK Enterprises', 'Reporter is: Former employee', 'The incident happened in: Stark Tower, NY', and 'Affected departments: Sales, Accounting'. The 'Parties involved' section is partially visible. The 'Messages' tab shows a message from 'LEGAL COUNSEL' stating 'Legal counsel will be invited to this case'. The 'Activity' sidebar on the right lists recent events: 'Case approved' (24 Feb, 11:02am) by Kate Milton, 'Review stage: Completed' (24 Feb, 10:13am) by Anthony Philler, 'New message sent to Anonymous reporter' (23 Feb, 12:06pm) by Alex Hogan, 'Added new information to report' (22 Feb, 7:16pm) by Kate Milton, and 'Review stage: Started' (21 Feb, 10:18am) by Anthony Philler.

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 interface. 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 sub-navigation bar with 'My Profile', 'Company Profile' (selected), 'Case Admins', and 'Case Deadlines'. The 'Company Profile' section shows the 'Stark Industries' logo and the URL 'https://stark.employeeconfidential.com'. Below this, the 'Case Routing' tab is active, displaying a table with columns for 'Incident Type', 'Department', 'Issue Owner', 'Scope', and 'Policy'. The table lists three incident types: 'Bribery/Illegal Gifts' (Legal, Mary Sanders, Regulatory), 'Drug or Alcohol Abuse' (Human Resources, Kate Milton, Regulatory), and 'Environmental, Health and Safety Issues' (Safety, Craig Anderson, Internal). Each row has an 'Upload' button. On the right side of the table, there are two red error messages: 'Alcohol Company Policy.pdf' and 'Drugs Company Policy.pdf'.

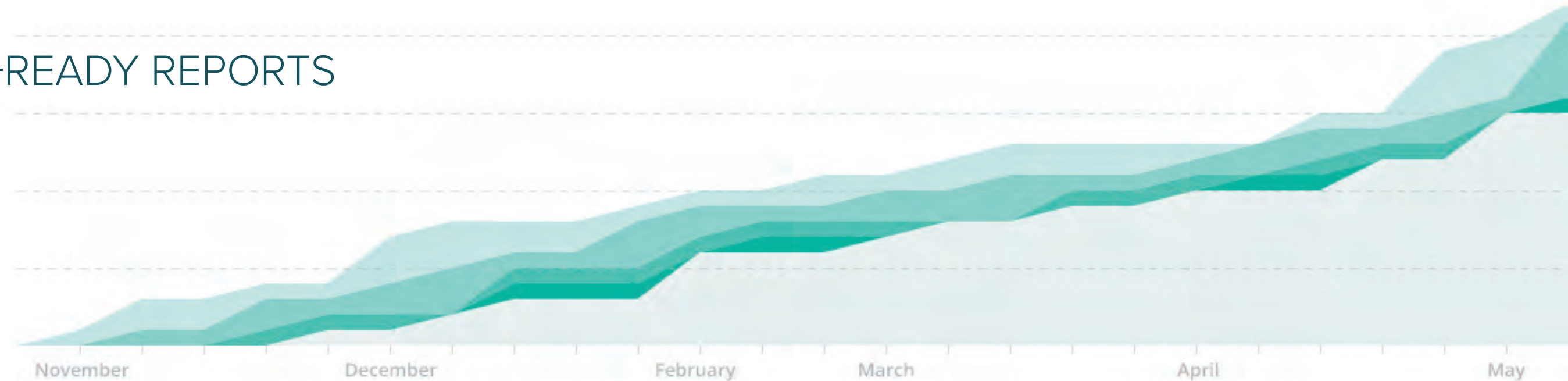
Incident Type	Department	Issue Owner	Scope	Policy
Bribery/Illegal Gifts	Legal	Mary Sanders	Regulatory	Upload
Drug or Alcohol Abuse	Human Resources	Kate Milton	Regulatory	Upload
Environmental, Health and Safety Issues	Safety	Craig Anderson	Internal	Upload

Alcohol Company Policy.pdf ✖
Drugs Company Policy.pdf ✖

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



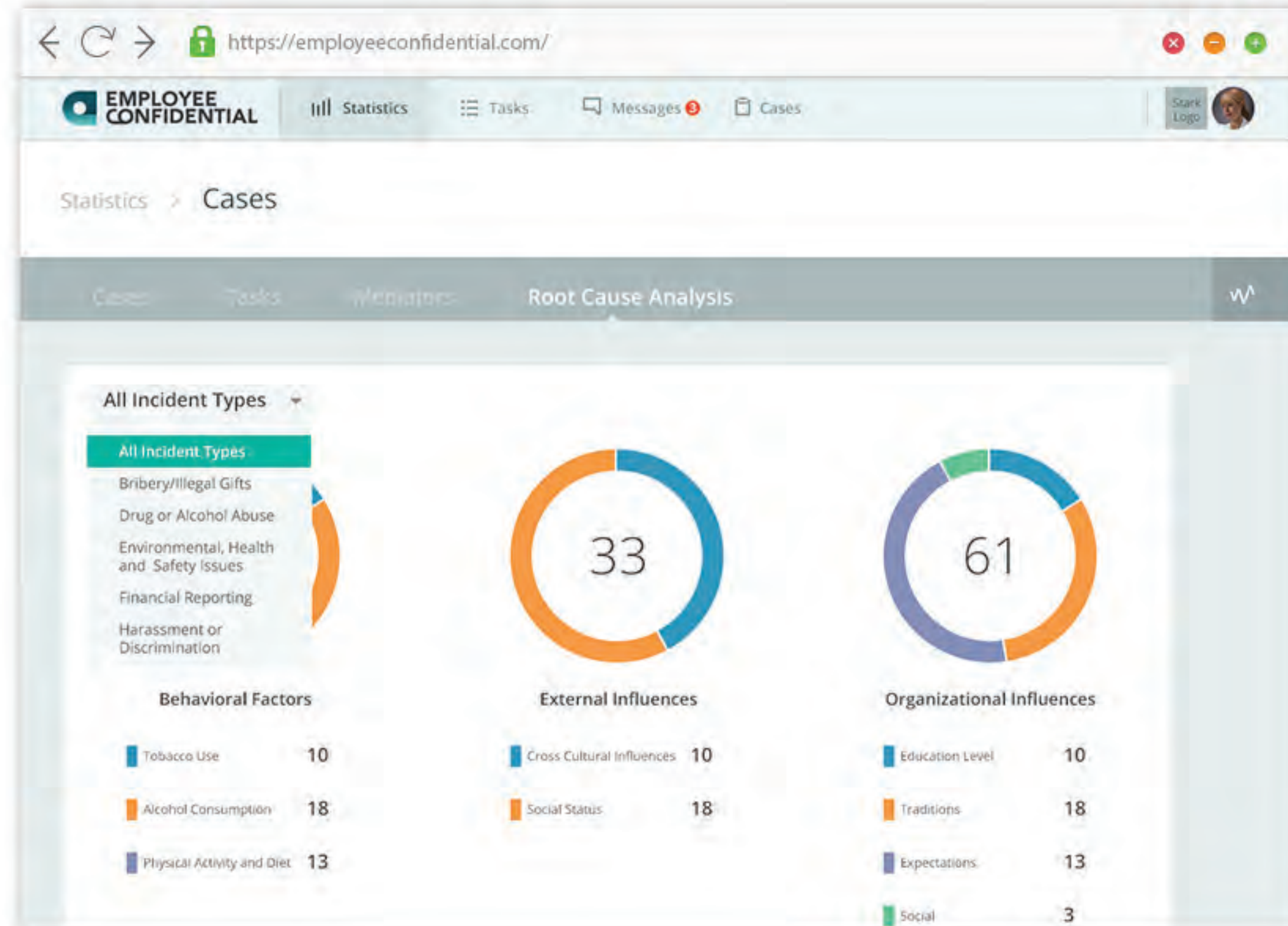
Reporter



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.





**EMPLOYEE
CONFIDENTIAL**

REDUCE RISK. CREATE TRUST.

sales@employeeconfidential.com