



## ETHICS HOTLINE

The Ethics Hotline is an ideal vehicle for employees, vendors and others to anonymously report any wrongdoing. Our hotline can be accessed by telephone, Internet or email and we, as an independent third-party, respond to all complaints received. It is an easy way for you to protect yourself from internal fraud or inappropriate behavior and also fosters a trust with your employees who know you care about their workplace experience by implementing this hotline.

Designed to meet the provisions in Section 301 of the Sarbanes-Oxley Act, the Ethics Hotline provides additional checks and balances for privately held firms such as portfolio companies of venture capital and private equity firms, hedge funds, lenders and surety companies. Individuals can anonymously report suspected wrongdoing through a toll-free telephone number, email address or Internet portal.

The hotline allows board members, investors and management to learn about any unethical behavior that takes place at their company. It also helps to foster employee awareness and loyalty and deter unacceptable behavior.

As an independent 3rd party provider of these services, we process anonymous complaints/concerns called into our hotline by employees, vendors and others regarding:

- Fraud
- Unethical behavior
- Sexual harassment
- Vendor fraud
- Safety issues
- Drugs and/or violence in the workplace
- Violations of the U.S. Foreign Corrupt Practices Act and the U.S. Federal Sentencing Guidelines and other regulatory concerns

We employ various technologies and industry accepted practices to ensure the total anonymity of each caller. We provide a confidential and secure 24/7 hotline with multilingual capabilities that utilize state-of-the-art security protocols to ensure that both the employee and company can conduct on-going communications with the knowledge and confidence that the caller's identity will remain anonymous. We can also assist you in the initial setup and implementation of your hotline if you so desire.

We are one of the few firms that serve in an advisory capacity to our clients to evaluate and react to any complaints that might be received. Our corporate investigations group will conduct appropriate inquiries into these matters and prepare a report of investigation for the board of directors and/or counsel.

Corporate Resolutions, founded in 1991, is a worldwide business investigations and consulting firm, providing a wide range of investigative services to leading financial institutions, the private equity and alternative asset communities, law firms, insurance companies, healthcare organizations and global corporations. For further information, please contact Donald Klaskin in our Boston office, at 617-227-0200.

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