

Whistle Blowing Compliant Form

A) Compliant Section: Name of person submitting Compliant: _____ Date of Compliant: _____

Is the person submitting this complaint an Employee (E); Client (C); Vendor (V); Shareholder (S); or Other (O)? _____

Compliant Description: *(To the extent possible, describe the alleged event, subject matter of the compliant, the name(s) of the persons involved, the date and location of the event, and documentation to support the Compliant.)*

Attach additional pages if required.

[illegible]

B) Administrative Section (For Kamco Invest Only):

Date Received: _____

Date Listed on Whistle Blower Tracking Matrix: _____

Date Reported to Management / Other Parties: _____

Date of Response: _____

Date of Closure: _____