

Reportable Conditions

Reportable Condition	Definition	Examples
Conflicts of Interest	Conflicts of interest, subject to ALI's policies, may refer to situations which may impair the objectivity of a person because of the possible incompatibility of the person's self-interest and professional or public interest	<ul style="list-style-type: none">▪ inappropriate relations or questionable transactions with clients or suppliers▪ misuse of client/company information
Misconduct or Policy Violations	Misconduct or policy violations refer to acts that violate moral or civil law, Code of Ethics, company policies, and/or contractual agreements	<ul style="list-style-type: none">▪ violation of Code of Ethics▪ control overrides▪ acting under false/insufficient authority
Theft, Fraud, or Misappropriation	Theft, fraud, or misappropriation refers to fraudulent appropriation of funds or properties entrusted to the Employee's care but actually owned by the employer or someone else in the organization	<ul style="list-style-type: none">▪ stealing▪ misappropriation of funds▪ false representation

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Falsification of Documents	Falsification of documents refers to counterfeiting, forging, falsifying or making fraudulent changes to any document	<ul style="list-style-type: none">▪ forgery▪ alteration▪ tampering
Financial Reporting Concerns	Deliberate misstatements in recording and/or reporting business transactions or result of operations	<ul style="list-style-type: none">▪ incorrect recording of financial transactions▪ irregularities in application of accounting standards▪ misleading reports
Retaliation Complaints	Retaliation complaints are those filed by a Whistleblower due to any undesirable action taken against him — and in direct response to the Whistleblowing — because he reported wrongdoing	<ul style="list-style-type: none">▪ job harassment▪ ostracism▪ unemployment▪ threat to security