



INFORMATIONAL DOCUMENT FOR AUDIT COMMITTEE

2013 1st Quarter Whistleblower Hotline Report
 Dante Robinson, Chief of Internal Affairs

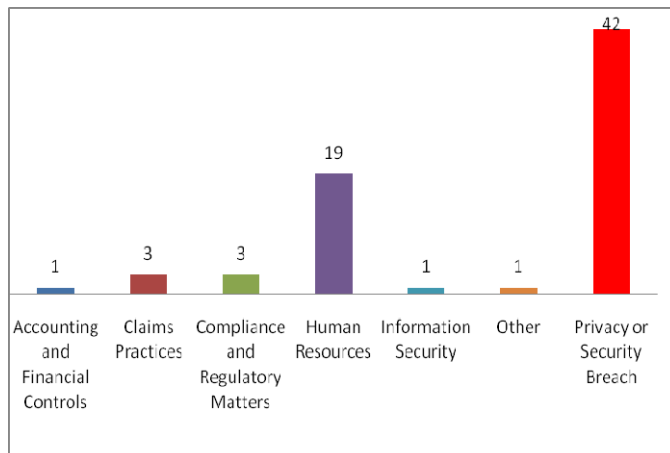
At State Fund we take our *Code of Conduct* seriously. We will continue to periodically report out to the employees summary information of the actions taken to provide information back to the employees and to demonstrate our commitment to addressing the concerns the employees raise.

This table represents the total number and type of reports made through the Ethics Hotline during the 1st quarter. This table shows the breakdown of the status of the Investigation for the 70 reports.

Investigation / Action Status	Total
Completed and not Substantiated	11
Completed Pending Performance Development	1
Completed with HR Action	1
In Process of an Investigation	57
Grand Total	70

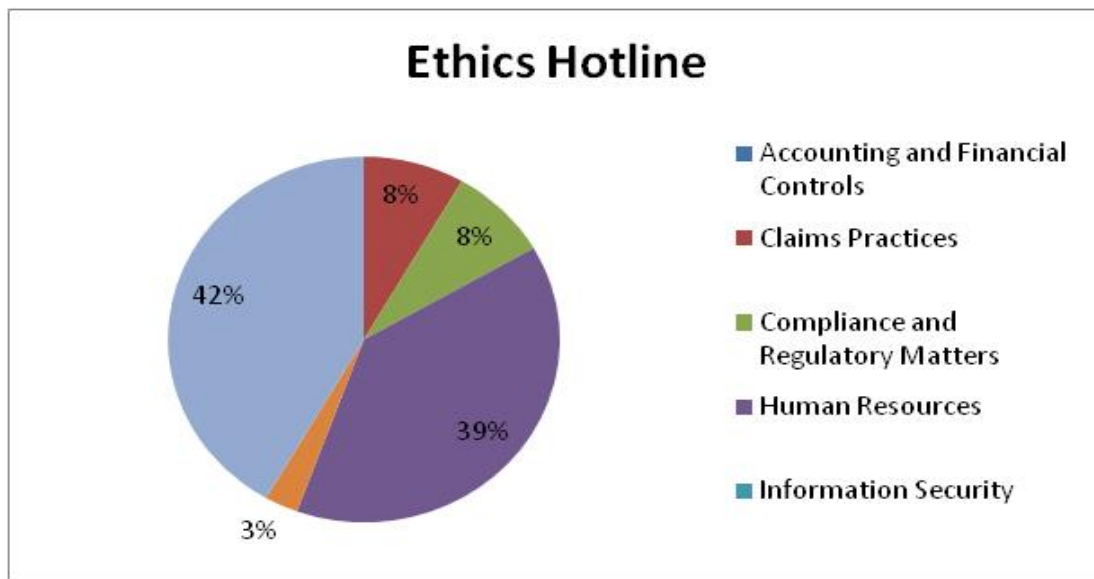
The table below provides a breakdown and number by category of the topics of the cases reported to the Ethics Hotline.

Category	Total
Accounting and Financial Controls	1
Claims Practices	3
Compliance and Regulatory Matters	3
Conflict of Interests	0
Human Resources	19
Information Security	1
Inquiry	0
Other	1
Privacy or Security Breach	42
Vendor or Contract Relations	0
Grand Total	70



The table below includes the sources.

Category	Ethics Hotline	Management Referral	Privacy	Grand Total
Accounting and Financial Controls		1		1
Claims Practices	3			3
Compliance and Regulatory Matters	3			3
Human Resources	14	5		19
Information Security		1		1
Other	1			1
Privacy or Security Breach	15		27	42
Grand Total	36	7	27	70





APPENDIX

2013 1st Quarter Whistleblower Hotline Report Summary

Date	Source	Topic	Outcomes
1/2013	Ethics Hotline	Human Resources - Retaliation	Completed Pending Performance Development
1/2013	Privacy	Privacy or Security Breach	In Process
1/2013	Privacy	Privacy or Security Breach	In Process
1/2013	Management Referral	Information Security - Inappropriate Use of Email	In Process
1/2013	Ethics Hotline	Claims Practices	Investigation Completed - Allegation not Substantiated
1/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time	In Process
1/2013	Ethics Hotline	Human Resources - Falsification of Work Related Books and Records	In Process
1/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation Completed - Allegation not Substantiated
1/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation Completed - Allegation not Substantiated
1/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation Completed - Allegation not Substantiated
1/2013	Ethics Hotline	Data Breach	In Process
1/2013	Ethics Hotline	Data Breach	In Process
1/2013	Ethics Hotline	Human Resources - Falsification of Work Related Books & Records	In Process
1/2013	Ethics Hotline	Other- Consultant Authority	In Process
1/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time	Investigation Completed - Allegation not Substantiated
2/2013	Management Referral	Human Resources - Misuse / Abuse of Time	In Process
2/2013	Ethics Hotline	Claims Practices	Investigation Completed - Allegation not Substantiated
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Management Referral	Accounting and Financial Controls - Misappropriation of Assets	In Process
2/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	In Process



APPENDIX

2013 1st Quarter Whistleblower Hotline Report Summary

2/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time	In Process
2/2013	Ethics Hotline	Compliance and Regulatory Matters - Corporate and Legal Practices	Investigation Completed - Allegation not Substantiated
2/2013	Ethics Hotline	Human Resources - Discrimination	In Process
2/2013	Ethics Hotline	Human Resources - Discrimination	Investigation Completed - Allegation not Substantiated
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Management Referral	Human Resources - Invasion of Privacy , Confidentiality of Interviews	In Process
2/2013	Privacy	Privacy or Security Breach	In Process
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Privacy	Privacy or Security Breach	In Process
2/2013	Privacy	Privacy or Security Breach	In Process
2/2013	Management Referral	Human Resources - Misconduct, Creating Hostile Work Environment	Completed with HR Action
3/2013	Ethics Hotline	Compliance and Regulatory Matters - Corporate or Legal Practices	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Human Resources - Favoritism	Investigation Completed - Allegation not Substantiated
3/2013	Ethics Hotline	Compliance and Regulatory Matters - Corporate and Legal Practices	In Process
3/2013	Ethics Hotline	Human Resources - Discrimination	In Process
3/2013	Privacy	Privacy or Security Breach	Investigation Completed - Allegation not Substantiated
3/2013	Privacy	Privacy or Security Breach	In Process



APPENDIX

2013 1st Quarter Whistleblower Hotline Report Summary

3/2013	Ethics Hotline	Claims Practices	Investigation Completed - Allegation not Substantiated
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Management Referral	Human Resources - Employee Theft	In Process
3/2013	Management Referral	Human Resources - Misuse of State Fund's Systems	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Ethics Hotline	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process
3/2013	Privacy	Privacy or Security Breach	In Process