

INFORMATIONAL DOCUMENT FOR AUDIT COMMITTEE

2013 1st Quarter Whistleblower Hotline Report

Dante Robinson, Chief of Internal Affairs

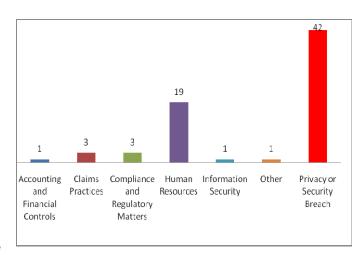
At State Fund we take our *Code of Conduct* seriously. We will continue to periodically report out to the employees summary information of the actions taken to provide information back to the employees and to demonstrate our commitment to addressing the concerns the employees raise.

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

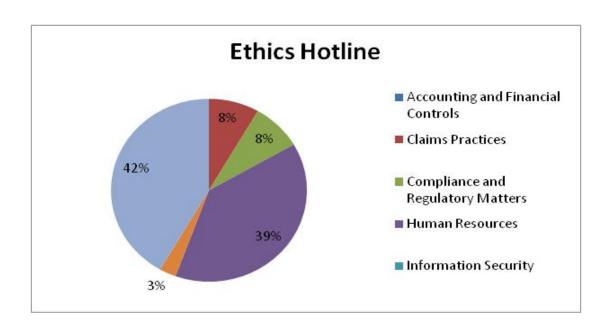
The table below provides a breakdown and number by category of the topics of the cases reported to the Ethics Hotline.

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
		Human Resources -	Completed Pending
1/2013	Ethics Hotline	Retaliation	Performance Development
1/2013	Privacy	Privacy or Security Breach	In Process
1/2013	Privacy	Privacy or Security Breach	In Process
	Management	Information Security -	
1/2013	Referral	Inappropriate Use of Email	In Process
			Investigation Completed -
1/2013	Ethics Hotline	Claims Practices	Allegation not Substantiated
1/2013	Ethics Hothine		Substantiated
1/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time	In Process
1/2013	Lunes i lounte		III F TOCESS
		Human Resources - Falsification of Work Related	
1/2013	Ethics Hotline	Books and Records	In Process
.,_0.0		Human Resources -	Investigation Completed -
		Misconduct, Inappropriate	Allegation not
1/2013	Ethics Hotline	and/or Offensive Behavior	Substantiated
		Human Resources -	Investigation Completed -
		Misconduct, Inappropriate	Allegation not
1/2013	Ethics Hotline	and/or Offensive Behavior	Substantiated
		Human Resources -	Investigation Completed -
		Misconduct, Inappropriate	Allegation not
1/2013	Ethics Hotline	and/or Offensive Behavior	Substantiated
1/2013	Ethics Hotline	Data Breach	In Process
1/2013	Ethics Hotline	Data Breach	In Process
		Human Resources -	
1/2013	Ethics Hotline	Falsification of Work Related Books & Records	In Process
1/2013	Ethics Hotline	Other- Consultant Authority	In Process
1/2013	Lunes Hounte	Other-Consultant Authority	Investigation Completed -
		Human Resources - Misuse /	Allegation not
1/2013	Ethics Hotline	Abuse of Time	Substantiated
	Management	Human Resources - Misuse /	
2/2013	Referral	Abuse of Time	In Process
			Investigation Completed -
2/2013	Ethics Hotline	Claims Practices	Allegation not Substantiated
2/2013	Ethics Hotline	Privacy or Security Breach	In Process
2/2013	Lunes Fieldine		111 100633
	Management	Accounting and Financial Controls - Misappropriation of	
2/2013	Referral	Assets	In Process
		Human Resources -	
		Misconduct, Inappropriate	
2/2013	Ethics Hotline	and/or Offensive Behavior	In Process



APPENDIX

2013 1st Quarter Whistleblower Hotline Report Summary

		Human Dansuman Minusa /	
2/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time	In Process
2/2013	Ethics Hounte		
		Compliance and Regulatory	Investigation Completed -
2/2013	Ethics Hotline	Matters - Corporate and Legal Practices	Allegation not Substantiated
2/2013	Ethics Hounte		Substantiated
2/2013	Ethics Hotline	Human Resources - Discrimination	In Process
2/2013	Ethics Hounte	Discrimination	Investigation Completed -
		Human Resources -	Allegation not
2/2013	Ethics Hotline	Discrimination	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
_, _ 0 . 0		Human Resources - Invasion	
	Management	of Privacy, Confidentiality of	
2/2013	Referral	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
_,		acj c. cccam, z.cacn	
		Human Pacaureae	
	Management	Human Resources - Misconduct Creating Hostile	
2/2013	Management Referral	Human Resources - Misconduct, Creating Hostile Work Environment	Completed with HR Action
2/2013		Misconduct, Creating Hostile Work Environment	Completed with HR Action
2/2013		Misconduct, Creating Hostile Work Environment Compliance and Regulatory	Completed with HR Action
2/2013		Misconduct, Creating Hostile Work Environment	Completed with HR Action In Process
	Referral Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices	
3/2013	Referral	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach	In Process
3/2013 3/2013	Referral Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Privacy or Security Breach	In Process In Process
3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Privacy or Security Breach Privacy or Security Breach	In Process In Process
3/2013 3/2013 3/2013	Ethics Hotline Privacy Ethics Hotline Ethics Hotline Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Privacy or Security Breach	In Process In Process In Process
3/2013 3/2013 3/2013 3/2013 3/2013	Ethics Hotline Privacy Ethics Hotline Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach	In Process In Process In Process In Process In Process
3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Human Resources -	In Process Investigation Completed - Allegation not
3/2013 3/2013 3/2013 3/2013 3/2013	Ethics Hotline Privacy Ethics Hotline Ethics Hotline Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach	In Process
3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Human Resources -	In Process Investigation Completed - Allegation not
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and	In Process Investigation Completed - Allegation not Substantiated
3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices	In Process Investigation Completed - Allegation not
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices Human Resources -	In Process Investigation Completed - Allegation not Substantiated In Process
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices	In Process Investigation Completed - Allegation not Substantiated In Process In Process
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices Human Resources -	In Process Investigation Completed - Allegation not Substantiated In Process In Process In Process In Process In Process
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy Ethics Hotline Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices Human Resources - Discrimination	In Process Investigation Completed - Allegation not Substantiated In Process Investigation Completed - Allegation not
3/2013 3/2013 3/2013 3/2013 3/2013 3/2013	Referral Ethics Hotline Privacy Ethics Hotline Ethics Hotline Privacy Ethics Hotline Privacy Ethics Hotline	Misconduct, Creating Hostile Work Environment Compliance and Regulatory Matters - Corporate or Legal Practices Privacy or Security Breach Compliance and Regulatory Matters - Corporate and Legal Practices Human Resources -	In Process Investigation Completed - Allegation not Substantiated In Process In Process In Process In Process In Process



APPENDIX

2013 1st Quarter Whistleblower Hotline Report Summary

			Investigation Completed -
			Allegation not
3/2013	Ethics Hotline	Claims Practices	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
	Management	Human Resources -	
3/2013	Referral	Employee Theft	In Process
	Management	Human Resources - Misuse	
3/2013	Referral	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	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