

The Complete Compliance and Ethics Manual 2024 Appendix 3-S: Sample Investigation Report Form

Investigation Report

Investigator:	
Case Number:	
Case Open Date:	
Case Closure Date:	_
Allegations:	
Substantiated	
Partially Substantiated	
Unsubstantiated	
Insufficient Information – Unconclusive	
I. Summary	
A. Allegation Overview	
On	, the Company received a complaint of _ via
The complaint alleged that:	
1	
3	

B. Persons Involved

The following persons were alleged to have engaged in wrongdoing:

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C. Investigation Process

The following individuals were interviewed as part of this investigation:

Name/Title/Date of Interview

Name/Title:	Name/Title:
Date:	Date:
Length of Interview:	Length of Interview:
Key Findings:	Key Findings:
Name/Title:	Name/Title:
Date:	Date:
Length of Interview:	Length of Interview:
Key Findings:	Key Findings:

The following documents were gathered and reviewed as part of this investigation:

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