

Comprehensive Reporting Guidelines for Companies Reporting Terminated Salespersons

Executive Summary

- **Investigation Purpose:** Define the scope and objectives of the investigation, offering a summary of the key findings and conclusions that resulted in the termination of the sponsorship. Clearly explain the related allegation of shortages, fraud, theft, misconduct, and breach of trust etc.
- **Background Information:** Provide a contextual background of the salesperson in relation to the allegations, including the amount of funds implicated in the investigation.

Investigation Process

- **Methodology:** Outline the methods and approaches employed to collect evidence, including document review, interviews, communication with salespersons, and communication with policy holders.
- **Timeline:** Provide a detailed timeline of the key dates and events associated with the alleged activities.

Findings

- **Evidence Collected:** Provide a detailed account of significant evidence, including methods used to facilitate the allegations (e.g., fraudulent receipts, false claims, diversion of funds). Incorporate relevant statements from witnesses and employees that support the investigation, such as financial records, warning letters, policyholder complaints, and policy documents.
- **Analysis:** Present the collected evidence and analyze how it substantiates the allegations, emphasizing any inconsistencies or corroborative details.

Conclusions

- **Summary of Findings:** Present a concise overview of the key findings based on the collected evidence, indicating whether the allegations necessitate further internal investigation or any outstanding actions.

Appendices

- **Supporting Documents:** Incorporate relevant supporting documents, including charts, financial records, and other materials referenced in the report.
- **Organized and Explained Details:** Organize relevant information in a chronological and comprehensive manner. Ensure a clear and concise layout with explanations that facilitate the interpretation of the data.

