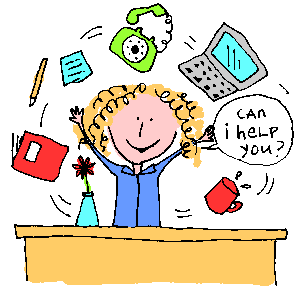


**THE COMPLIANCE**

**August 2017 Issue 3**

**FORUM**

YOUR NEWSLETTER: The Compliance Department has launched this newsletter to offer tips on ways to maintain the high standards of conduct as outlined in the Peerstar Code of Conduct. We will update you on Compliance issues and other important topics. If you have suggestions for future topics please send your ideas to [compliancenews@peerstarllc.com](mailto:compliancenews@peerstarllc.com) .



“DEAR LORI,”

Everyone must be on a well-deserved summer vacation-Dear Lori didn’t receive any mail for this issue.

Dear Lori will be looking forward to your questions for the next edition!!

Questions can be emailed to [compliancenews@peerstarllc.com](mailto:compliancenews@peerstarllc.com)

Investigations

The Employee Interview

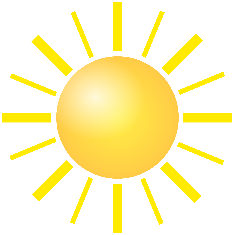
This is the third installment of our series on the investigation process.

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Now that the report has been made, and all the peer interviews have been completed, it may be time to talk to the employee about the complaint. Not every investigation will result in a meeting with the employee. However, when we do talk with the employee, we speak to them as the last part of the information gathering portion of the investigation so that they can have the “last word” so to speak.

According to the Compliance Code of Conduct, page 5, “All Peerstar employees are required to cooperate with the Peerstar Compliance Officer’s investigation of waste, fraud and abuse or other illegal or unethical conduct. Employees are required to answer all questions **openly** and **honestly** and to produce any documents, computer files or other data requested promptly.” What this means is: depending on the situation, Peerstar is required to correct problems promptly. Therefore, if we know exactly what happened, from the employee’s point of view, Peerstar can take the appropriate action which can be as simple as a letter of explanation, a corrective action plan or the return of monies to the MCO.

As we said last month’s newsletter, investigations can reap many benefits to the company. We can focus attention to issues that need corrected so that we can learn from our mistakes and assure similar issues do not occur in the future.



Quote of the Month

**People of character do the right thing even if no one else does, not because they think it will change the world but because they refuse to be changed by the world. ~Michael Josephson~**