# Escalation Request – Unresolved Whistleblowing Concern

## Purpose of this Template

This document is used when a previously submitted whistleblowing concern has been ignored, mishandled, or inadequately addressed. It is designed to escalate the matter to a higher authority within the organisation, such as a senior executive, board member, or compliance committee.

## Instructions

• Use this template only after submitting an initial concern and allowing a reasonable response period (typically 10–14 days).

• Keep language professional, factual, and legally grounded.

• Replace [ ] placeholders and retain a signed or timestamped version for your records.

## [Your Name and Job Title]

[Insert your full name and current job title here]

## [Date]

[Insert today’s date here]

## To: [Senior Manager / Chief Risk Officer / Whistleblowing Committee Chair]

Subject: Escalation – Unresolved Internal Whistleblowing Concern

## Escalation Narrative

Dear [Recipient Name],

I am writing to formally escalate a whistleblowing concern I submitted on [insert original date], addressed to [insert name of initial recipient].

The concern related to the following matter:

- [Summarise the original concern briefly – e.g., internal fraud, breach of client protection rules, AML failure, harassment, etc.]

Despite submitting this in accordance with the internal whistleblowing policy and industry regulatory frameworks, I have not received a substantive acknowledgment or response within the expected timeframe.

The concern remains unresolved and may expose the firm to legal, financial, or reputational risk. It is therefore imperative that this be reviewed without delay at the appropriate senior level.

## Attached Documentation

I have attached the original whistleblowing letter for your review.

Any additional materials or evidence that were submitted originally are available upon request.

## Confidentiality and Protection

I raise this matter under protected disclosure frameworks, including the EU Whistleblower Directive and UK Public Interest Disclosure Act 1998.

I request that my identity remain confidential and that I be protected from any retaliatory treatment resulting from this escalation.

## Call to Action

Please confirm receipt of this escalation and outline the next steps for independent review, investigation, or board referral as applicable.

I remain willing to assist in any investigation in a confidential and professional manner.

## Closing

Thank you for your attention and for treating this escalation with the seriousness it requires.

Kind regards,

[Your Name]

[Your Secure Contact Info]

[Your Signature if submitting physically]