



# Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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Thank you for contacting the United States Securities and Exchange Commission. This automated response confirms that your submission has been received successfully. We are always interested in hearing from the public, and your submission will be given careful consideration in view of the Commission's overall responsibilities under the federal securities laws. Please note, however, that it is the Commission's policy to conduct its investigations on a non-public basis in order to preserve the integrity of its investigative process. Subject to the provisions of the Freedom of Information Act, we cannot disclose to you any information which we may gather, nor can we confirm the existence or non-existence of an investigation, unless such information is made a matter of public record in proceedings brought before the Commission or the courts. Therefore, this may be the only response that you receive. If you want to learn more about how the Commission handles inquiries or complaints, please visit [http://www.sec.gov/complaint/info\\_tipscomplaint.shtml](http://www.sec.gov/complaint/info_tipscomplaint.shtml).

## What is your complaint about?

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**Q: Please select the option that best describes your complaint.**

A: Other

**Q: Is this supplemental information to a previous complaint?**

A: No

**Q: In your own words, describe the conduct or situation you are complaining about.**

A: One of Apple Inc's board of directors is Ronald Sugar, who joined the board in 2021. Sugar is and has been chair of the Finance & Audit Committee. <https://www.apple.com/newsroom/2010/11/17Ronald-D-Sugar-Joins-Apples-Board-of-Directors/> Sugar used to be CEO/President of Northrup Grumman, and TRW Microwave before that, for many years. In 2014, Apple began to lease an office building at 825 Stewart Dr in Sunnyvale, CA. The building is owned by GI Partners LP since 2016. Before that, starting in 2014, the building was owned by Hines real estate firm & Oaktree Capital Management L.P. 825 Stewart Dr is an active EPA Superfund site (the "TRW Microwave" site). Apple calls this building "Stewart 1" and has 100+ employees working there, including myself. See: <https://cumulis.epa.gov/supercpad/SiteProfiles/index.cfm?fuseaction=second.cleanup&id=0901181> The EPA's "responsible party" for the clean up of the toxic chemicals under the building, is Northrup Grumman (and TRW Microwave before that, until Northrup Grumman acquired TRW Microwave). This 825 Stewart building was the California HQ for TRW Microwave, so Sugar must be very familiar with it. I have a separate complaint with the



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Federal EPA about my concerns about hazardous waste vapor intrusion in the indoor air of the building -- and negligent, if not reckless & fraudulent due diligence of the safety & health oversight of the employees by Apple. I was even intimidated by my Manager & Apple Employee Relations to not speak openly about my workplace safety concerns. I have since faced multiple types of retaliation for continuing to speak about my concerns about work place safety & Apple's unethical, if not illegal, behavior related to the building. (I have a separate NLRB complaint for all that). Meanwhile Ronald Sugar is supposed to be overseeing Finance & Audit for Apple, which I assume includes the budget and oversight of due diligence programs like this. This seems like a very big conflict of interest.

**Q: Are you having or have you had difficulty getting access to your funds or securities?**

**A:** No

**Q: Did you suffer a loss?**

**A:** No

**Q: When did you become aware of the conduct? (mm/dd/yyyy)**

**A:** 07/01/2021

**Q: When did the conduct begin? (mm/dd/yyyy)**

**A:** 11/17/2010

**Q: Is the conduct ongoing?**

**A:** Yes

**Q: Has the individual or firm acknowledged the conduct?**

**A:** No

**Q: How did you learn about the conduct? You may select more than one answer.**

**A:** Conversations; Internal business documents; Publicly available information

**Q: Have you taken any action regarding your complaint? You may select more than one answer.**

**A:** Complained to firm; Complained to other regulator; Complained to other



# Tips, Complaints, and Referrals

## Summary Page - Submitted Externally

### **Q: Provide details.**

**A:** I complained verbally to Apple Employee Relations several times in July 2021 and asked them to look into it and they refused to look into it. I asked them who I could complain to or where I could file a complaint, and they said "no idea." I complained to the federal EPA (via Margot Perez-Sullivan) on July 19th 2021, via email. She didn't acknowledge my concern about a conflict of interest. I complained about this apparent conflict of interest to Apple Business Conduct on Aug 23, 2021. On Aug 28, 2021 Apple Business Conduct closed my ticket and said, "Thank you for raising your concerns to the Business Conduct Helpline. Apple takes your concerns seriously, and we have shared them with the appropriate internal teams for review and investigation. This request is closed and can't be reopened. If you need more help with this issue, create a new request."

### **Who are you complaining about?**

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#### **Subject # 1**

#### **Q: Are you complaining about a person or a firm?**

**A:** Firm

#### **Q: Select the title that best describes the person or firm that you are complaining about.**

**A:** Publicly held company

#### **Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

**A:** Yes

#### **Q: How are you or were you associated with the person or firm you are complaining about?**

**A:** I am an employee of Apple Inc. I am a senior engineering program manager in the hardware engineering organization.

#### **Q: Identifier Type**

**A:** Ticker Symbol

#### **Q: Ticker Symbol**



# Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**A:** AAPL

**Q:** Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

**A:** Yes

**Q:** Check all that apply.

**A:** Employee

**Q:** Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

**A:** No

**Q:** Firm Name

**A:** Apple Inc.

**Q:** Street Address

**A:** 1 Apple Park Way

**Q:** Zip / Postal Code

**A:** 95014

**Q:** City

**A:** CUPERTINO

**Q:** State / Province

**A:** CA

**Q:** Country



# Tips, Complaints, and Referrals

## Summary Page - Submitted Externally

**A:** US

**Q: Website**

**A:** apple.com

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

**A:** No

**Subject # 2**

**Q: Are you complaining about a person or a firm?**

**A:** Firm

**Q: Select the title that best describes the person or firm that you are complaining about.**

**A:** Publicly held company

**Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

**A:** No

**Q: Identifier Type**

**A:** Ticker Symbol

**Q: Ticker Symbol**

**A:** NOC

**Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?**

**A:** No



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?**

**A:** No

**Q: Firm Name**

**A:** Northrop Grumman Corp

**Q: Street Address**

**A:** 2980 Fairview Park Drive

**Q: Zip / Postal Code**

**A:** 22042

**Q: City**

**A:** FALLS CHURCH

**Q: State / Province**

**A:** VA

**Q: Country**

**A:** US

**Q: Work Phone**

**A:** 703-280-2900

**Q: Website**

**A:** northropgrumman.com



# Tips, Complaints, and Referrals

## Summary Page - Submitted Externally

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

**A:** No

**Subject # 3**

**Q: Are you complaining about a person or a firm?**

**A:** Firm

**Q: Select the title that best describes the person or firm that you are complaining about.**

**A:** Private fund company (including hedge fund, private equity fund, venture capital fund or real estate fund)

**Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

**A:** No

**Q: Identifier Type**

**A:** Unknown

**Q: Firm Name**

**A:** GI Partners L.P.

**Q: Street Address**

**A:** 188 The Embarcadero

**Q: Address (Continued)**

**A:** Suite 700

**Q: Zip / Postal Code**

**A:** 94105



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**Q: City**

A: SAN FRANCISCO

**Q: State / Province**

A: CA

**Q: Country**

A: US

**Q: Work Phone**

A: 415-688-4800

**Q: Email Address**

A: info@gipartners.com

**Q: Website**

A: gipartners.com

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

A: No

**Subject # 4**

**Q: Are you complaining about a person or a firm?**

A: Firm

**Q: Select the title that best describes the person or firm that you are complaining about.**

A: Private fund company (including hedge fund, private equity fund, venture capital fund or real estate fund)





# Tips, Complaints, and Referrals

## Summary Page - Submitted Externally

**Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

**A:** No

**Q: Identifier Type**

**A:** Unknown

**Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?**

**A:** No

**Q: Firm Name**

**A:** Hines Interests Limited Partnership

**Q: Street Address**

**A:** 2800 Post Oak Blvd

**Q: Zip / Postal Code**

**A:** 77056

**Q: City**

**A:** HOUSTON

**Q: State / Province**

**A:** TX

**Q: Country**

**A:** US



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**Q: Work Phone**

**A:** 713 621 8000

**Q: Website**

**A:** hines.com

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

**A:** No

**Subject # 5**

**Q: Are you complaining about a person or a firm?**

**A:** Firm

**Q: Select the title that best describes the person or firm that you are complaining about.**

**A:** Publicly held company

**Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

**A:** No

**Q: Identifier Type**

**A:** Ticker Symbol

**Q: Ticker Symbol**

**A:** OAK

**Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?**



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**A:** No

**Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?**

**A:** No

**Q: Firm Name**

**A:** Oaktree Capital Management

**Q: Street Address**

**A:** 333 South Grand Ave.

**Q: Address (Continued)**

**A:** 28th Floor

**Q: Zip / Postal Code**

**A:** 90071

**Q: City**

**A:** LOS ANGELES

**Q: State / Province**

**A:** CA

**Q: Country**

**A:** US

**Q: Work Phone**

**A:** 213 830-6300



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**Q: Website**

A: oaktreecapital.com

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

A: No

**Subject # 6**

**Q: Are you complaining about a person or a firm?**

A: Person

**Q: Select the title that best describes the person or firm that you are complaining about.**

A: Executive officer or director

**Q: Where is the person that you are complaining about employed?**

A: Apple

**Q: Are you or were you associated with the person or firm when the alleged conduct occurred?**

A: Yes

**Q: How are you or were you associated with the person or firm you are complaining about?**

A: I am currently an employee at Apple.

**Q: Person's Title**

A: Mr

**Q: First Name**

A: Ronald



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**Q: Middle Name**

**A:** D.

**Q: Last Name**

**A:** Sugar

**Q: Website**

**A:** <https://www.apple.com/newsroom/2010/11/17Ronald-D-Sugar-Joins-Apples-Board-of-Directors/>

**Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?**

**A:** Unknown

### **Which investment products are involved?**

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**Q: Select the type of product involved in your complaint.**

**A:** Other

**Q: Please select the category that best describes the security product.**

**A:** Other

**Q: For other, please provide more information.**

**A:** I'm not sure of the extent of this issue

**Q: Enter the ticker symbol, if known.**

**A:** AAPL



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

**A:** I complained verbally to Apple Employee Relations several times in July 2021 and asked them to look into it and they refused to look into it. I asked them who I could complain to or where I could file a complaint, and they said "no idea." I complained about Ronald Sugar's apparent conflict of interest. But I also complained that Lisa Jackson and Alisa Johnson seem to be heavily involved in Apple's haz waste public relations (see 2x 2016 DTSC settlement PDFs attached). It worries me this is a Federal EPA Superfund site already with 1 conflict of interest with Sugar, but also more if Lisa Jackson's team is doing PR about Apple's hazardous waste crimes/infractions -- and Lisa used to run the Federal EPA & Alisa was the press secretary for Lisa at the Federal EPA. I complained about this apparent conflict of interest to Apple Business Conduct on Aug 23, 2021. On Aug 28, 2021 Apple Business Conduct closed my ticket and said, "Thank you for raising your concerns to the Business Conduct Helpline. Apple takes your concerns seriously, and we have shared them with the appropriate internal teams for review and investigation. This request is closed and can't be reopened. If you need more help with this issue, create a new request."

**Q: Were you retaliated against for reporting the matter at issue in this submission either internally at the entity or to a regulator?**

**A:** Yes

**Q: If you answered "Yes," please provide details.**

**A:** Early March 2021 - raise concerns about work place safety at my office at 825 Stewart Dr 3/11/21 - "warning" from Apple manager to stop expressing concerns about workplace safety 4/9 - retaliatory, nonconsensual sexism investigation by Apple ER (on my behalf) in response to expressing concerns about workplace safety 4/29 - Apple constructive termination; failure to resolve hostile work env 5/6 - Apple job reassignment, reduction of supervisory responsibilities 6/21 - Apple manager insists I must return to unsafe work env 6/28 - harassment from Apple manager 7/2 - Apple ER forces me to submit an ADA request to work remotely to avoid the Superfund vapor intrusion, despite my protests 7/15 - Apple manager substantially increases my workload with unfavorable work 7/28 - other Apple manager withholds my work assignments 8/4 - Apple employee relations forces me on paid admin leave

**Q: Has anyone taken steps to prevent you from reporting this violation to the SEC?**

**A:** Yes

**Q: If you answered "Yes," please provide details.**

**A:** Maybe -- no one told me is this something I could complain to the SEC about. I complained verbally to Apple Employee Relations several times in July 2021 and asked them to look into it and they refused to look into it. I asked them who I could complain to or where I could file a complaint, and they said "no idea."

**Q: Are documents or other information being submitted that could potentially identify the whistleblower?**

**A:** Yes



# Tips, Complaints, and Referrals

Summary Page - Submitted Externally

## Documents

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Document Name	Document Type
GI Partners Announces Acquisition of 825 Stewart Drive in Sunnyvale, California   News   GI Partners.pdf	application/pdf
Hines:Oaktree Venture Acquires 825 Stewart - Hines.pdf	application/pdf
Request detail - Business Conduct.pdf	application/pdf
Request - Business Conduct.pdf	application/pdf
RE Questions about TRW Microwave.pdf	application/pdf
20200819-Audit-and-Finance-Committee-Charter copy.pdf	application/pdf
2018.02.12_Corp_Governance_Guidelines.pdf	application/pdf
2018.02.12_Director_Conflicts_Guidelines.pdf	application/pdf
Ronald D. Sugar Joins Apple's Board of Directors - Apple.pdf	application/pdf



## Tips, Complaints, and Referrals

### Summary Page - Submitted Externally

Re ADA Medical Request for Full Remote Work Accommodation Certificate Form Attached PII.pdf	application/pdf
Re Questions about TRW Microwave1.pdf	application/pdf
Apple Directory.jpeg	image/jpeg
Gjovik Workers Comp - Signed.pdf	application/pdf
Re follow up.pdf	application/pdf
Work place safety concerns ADA Remote Work request process concerns .pdf	application/pdf
Apple Agrees to Pay \$450,000 to Settle Hazardous Waste Violations   Department of Toxic Substances Control.pdf	application/pdf
Apple settles claims of mishandling toxic waste   Resource Magazine.pdf	application/pdf