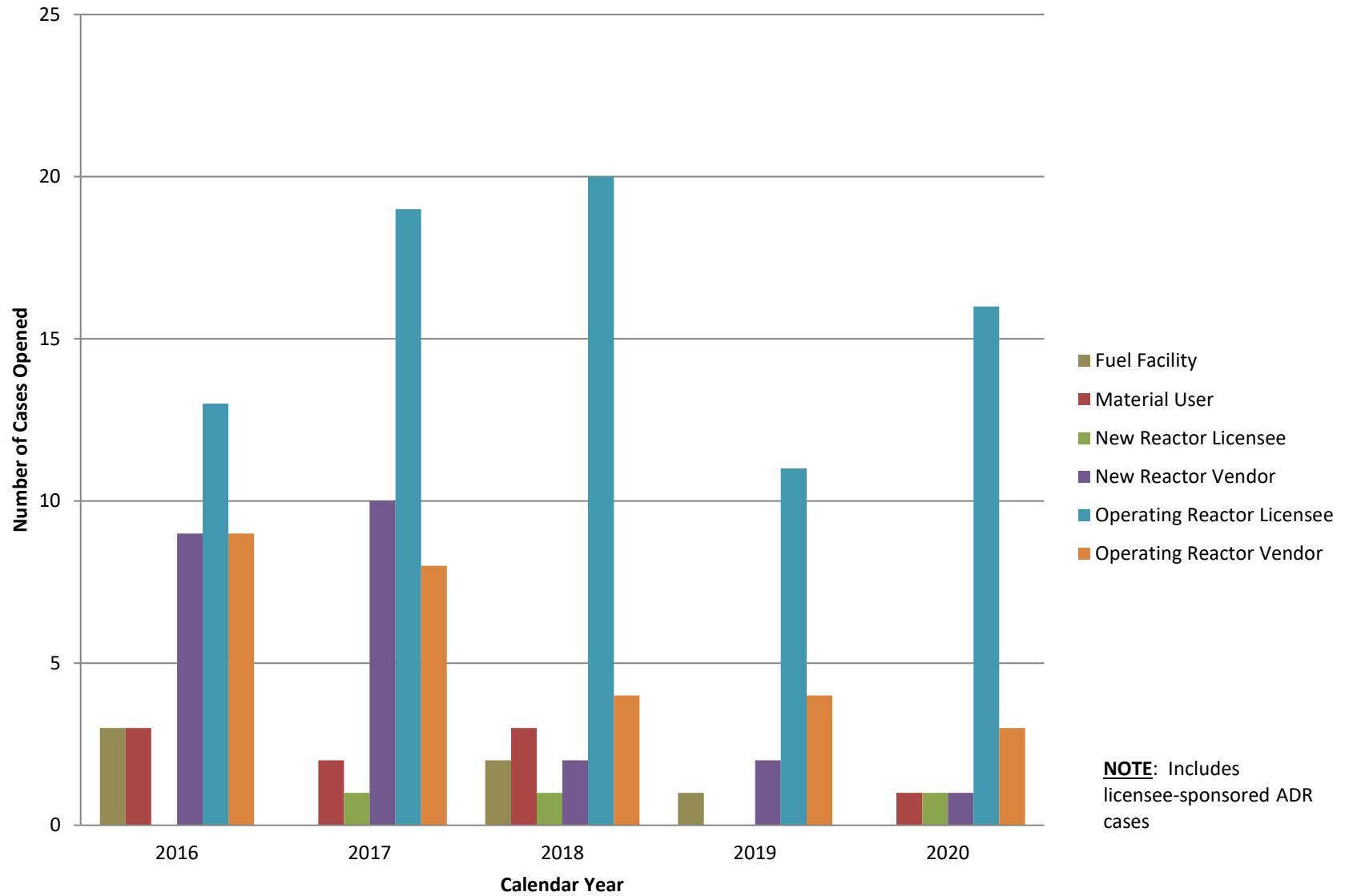


Graph 1

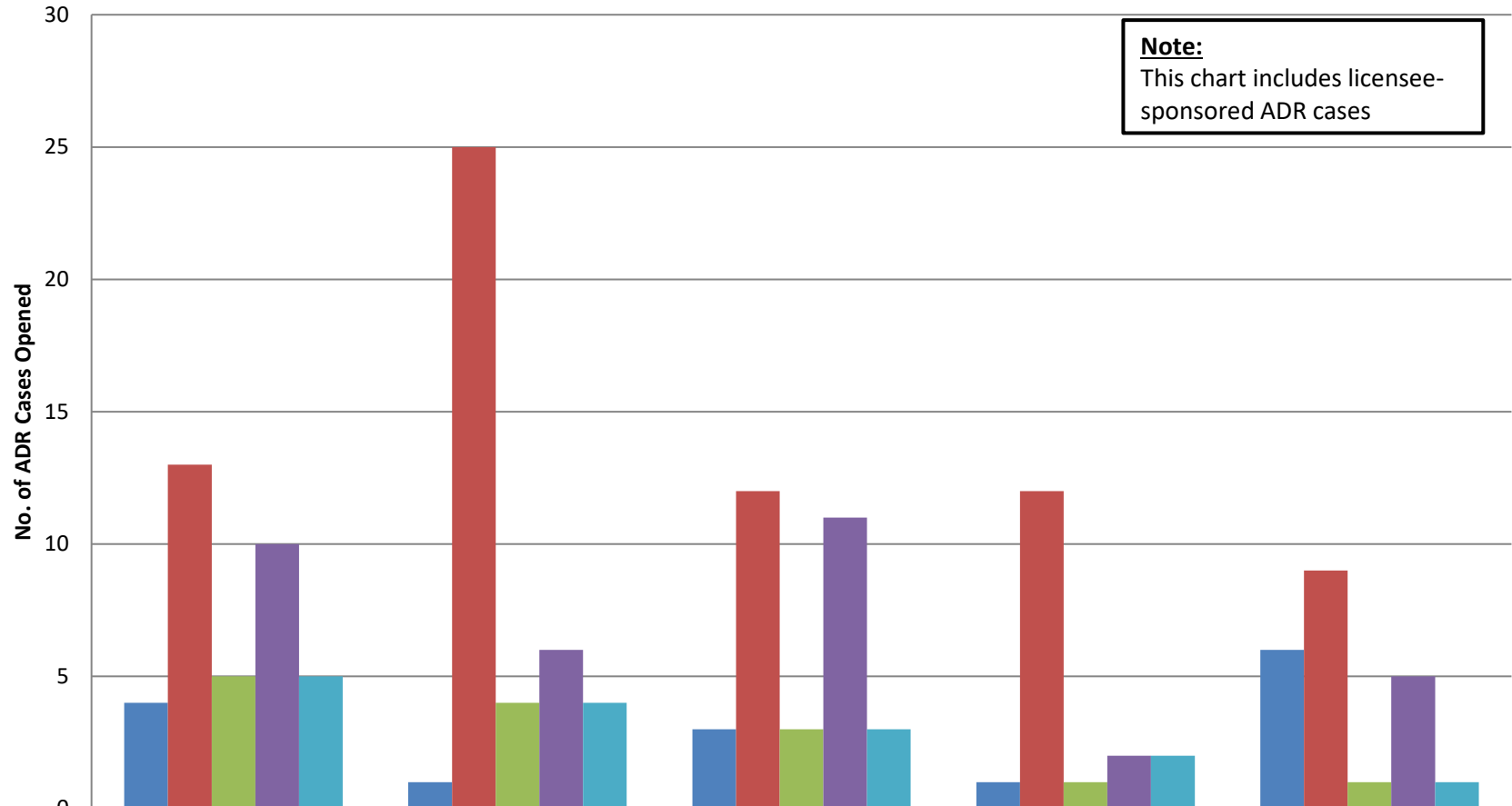
Pre-Investigation ADR Licensee Type



NOTE: Includes licensee-sponsored ADR cases

Graph 2

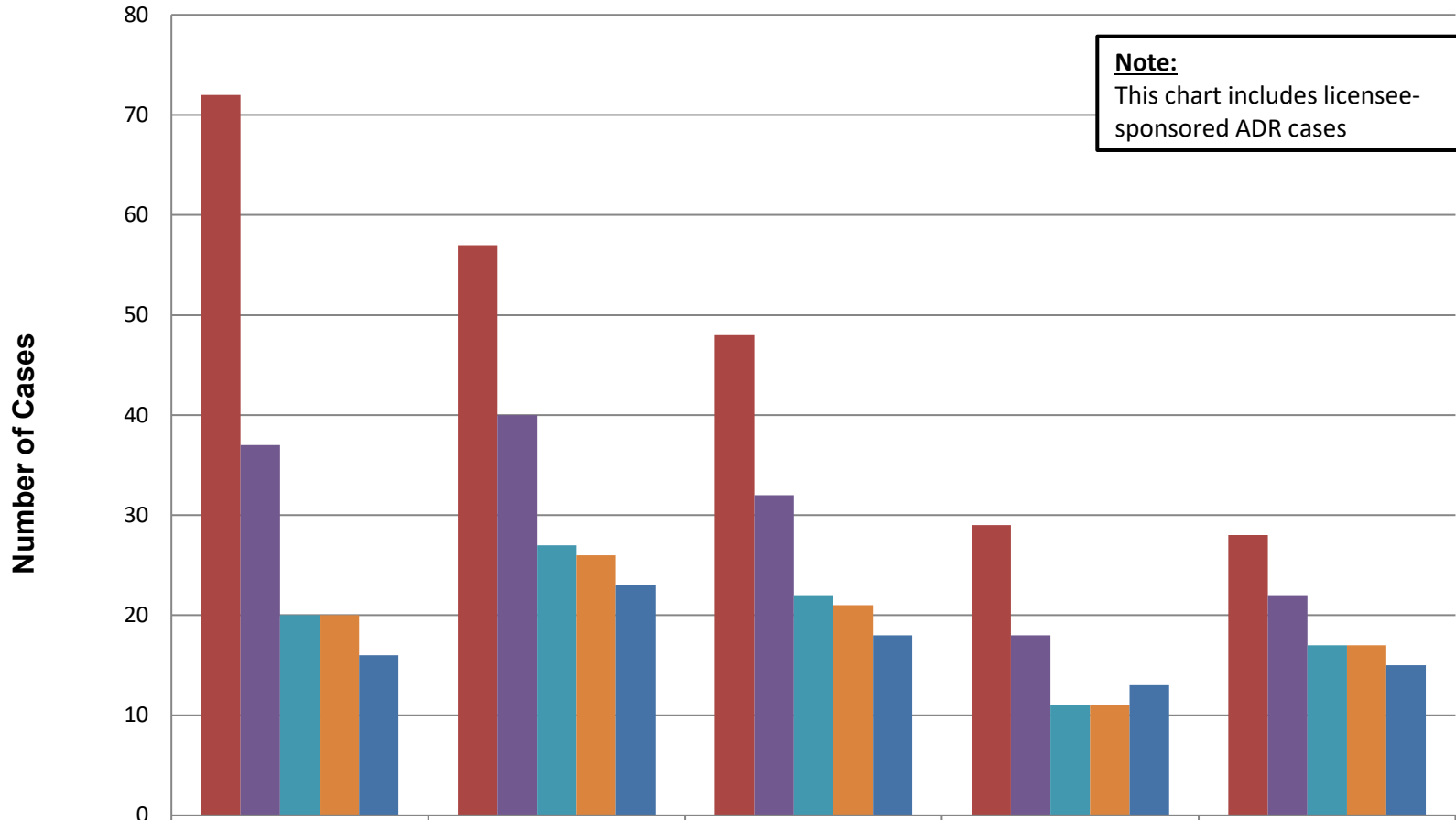
Pre-Investigation ADR Trends By Office/Region



| | 2016 | 2017 | 2018 | 2019 | 2020 |
|------|------|------|------|------|------|
| RI | 4 | 1 | 3 | 1 | 6 |
| RII | 13 | 25 | 12 | 12 | 9 |
| RIII | 5 | 4 | 3 | 1 | 1 |
| RIV | 10 | 6 | 11 | 2 | 5 |
| HQ | 5 | 4 | 3 | 2 | 1 |

Graph 3

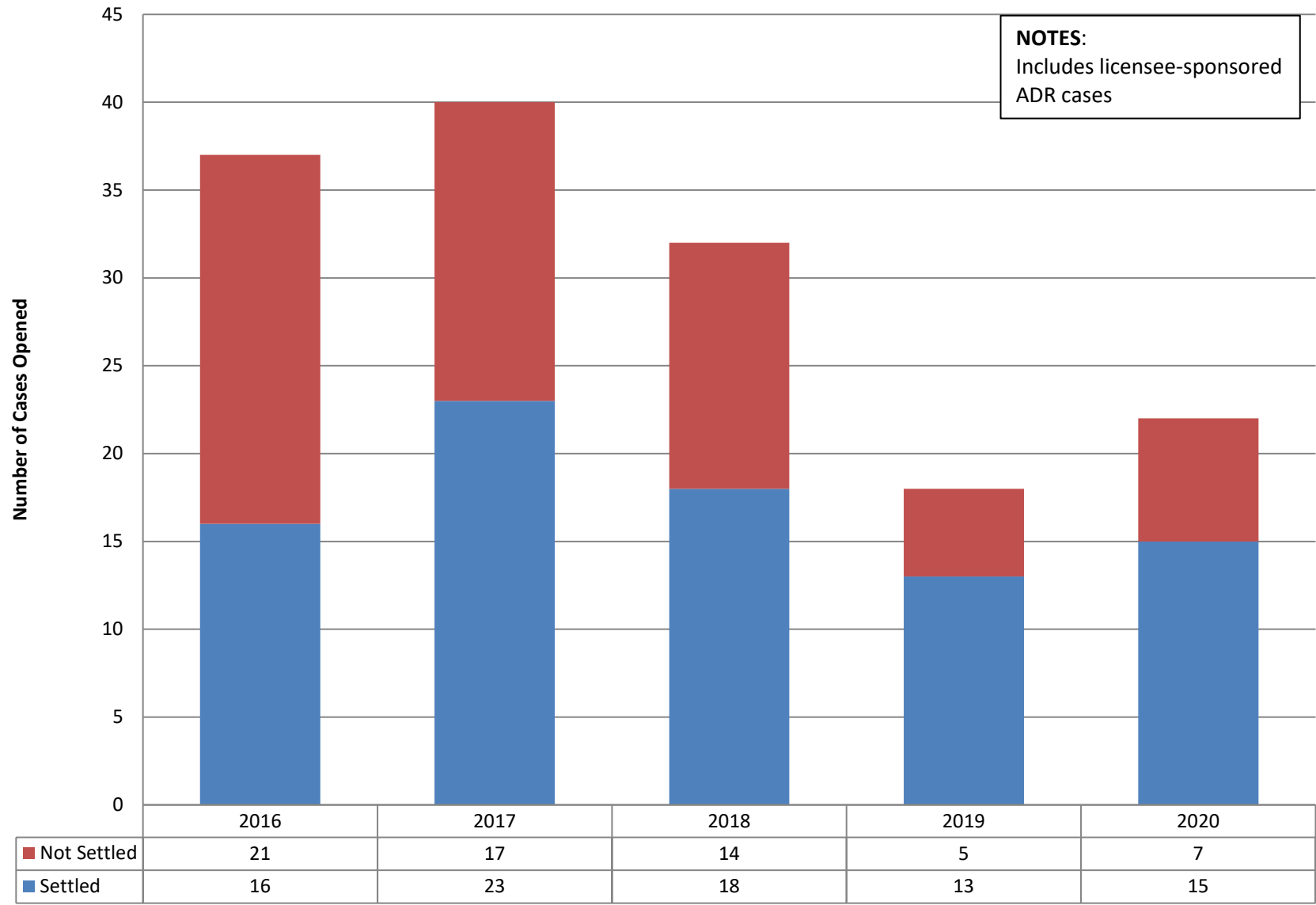
Pre-Investigations ADR Case Trends, Process Overview



| | 2016 | 2017 | 2018 | 2019 | 2020 |
|-------------------|------|------|------|------|------|
| ADR offers | 72 | 57 | 48 | 29 | 28 |
| ADR cases opened | 37 | 40 | 32 | 18 | 22 |
| Agreed to mediate | 20 | 27 | 22 | 11 | 17 |
| Mediations held | 20 | 26 | 21 | 11 | 17 |
| ADR cases settled | 16 | 23 | 18 | 13 | 15 |

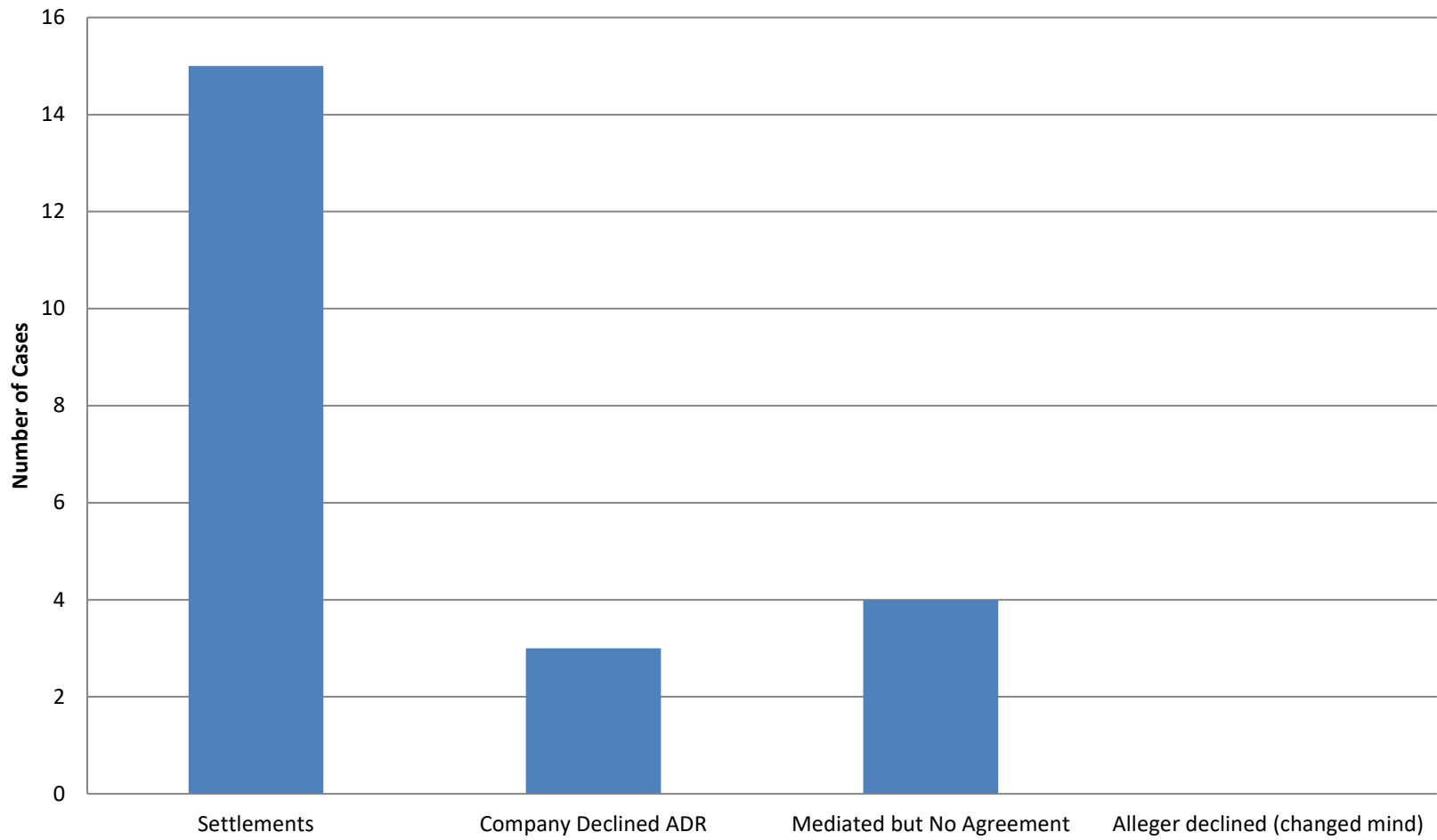
Graph 4

Pre-Investigation ADR Case Trends, Settled Cases



Graph 5

CY 2020 Pre-investigation ADR Case Outcomes

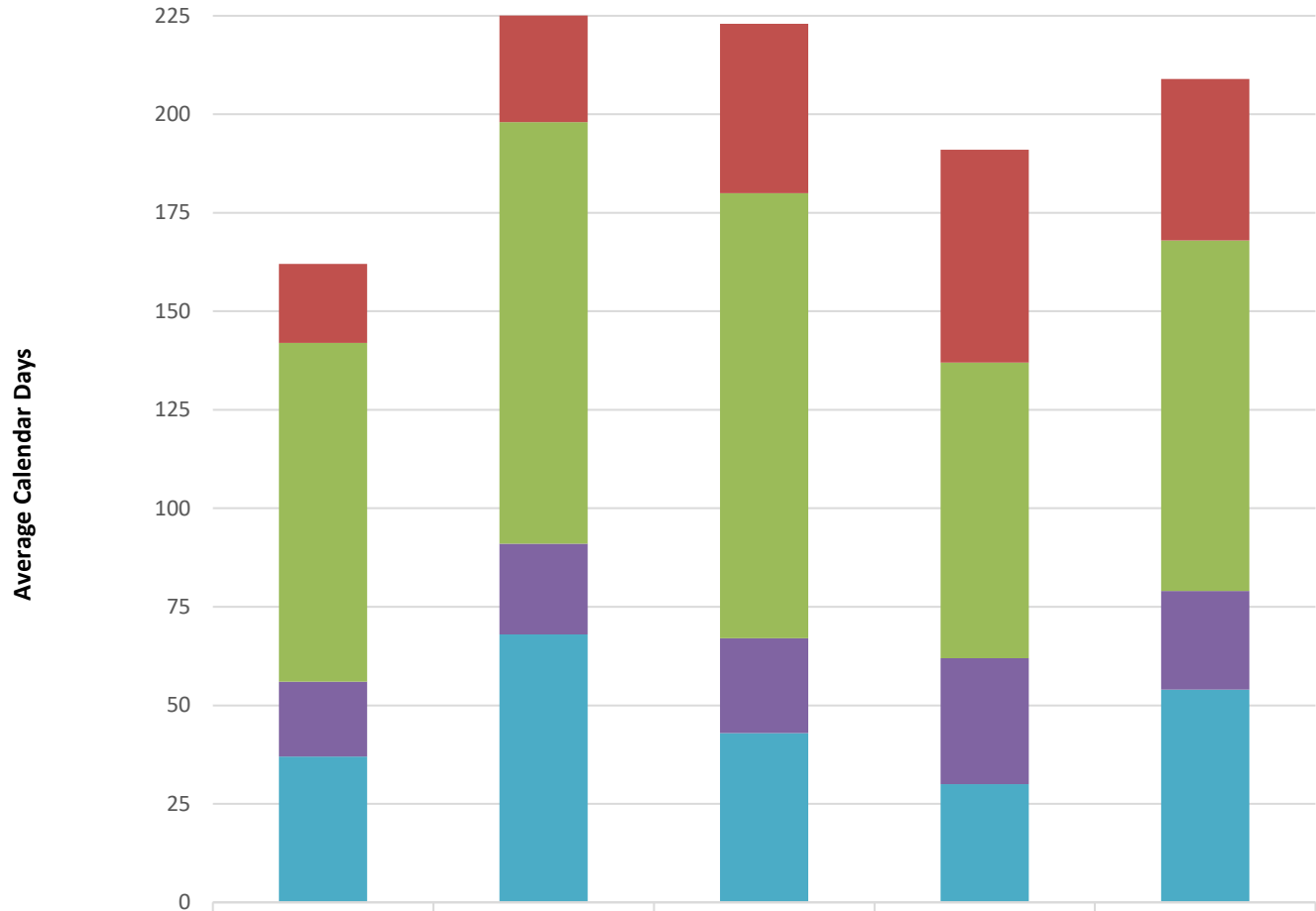


Notes :

- This chart includes 2 settled licensee-sponsored ADR

Graph 6

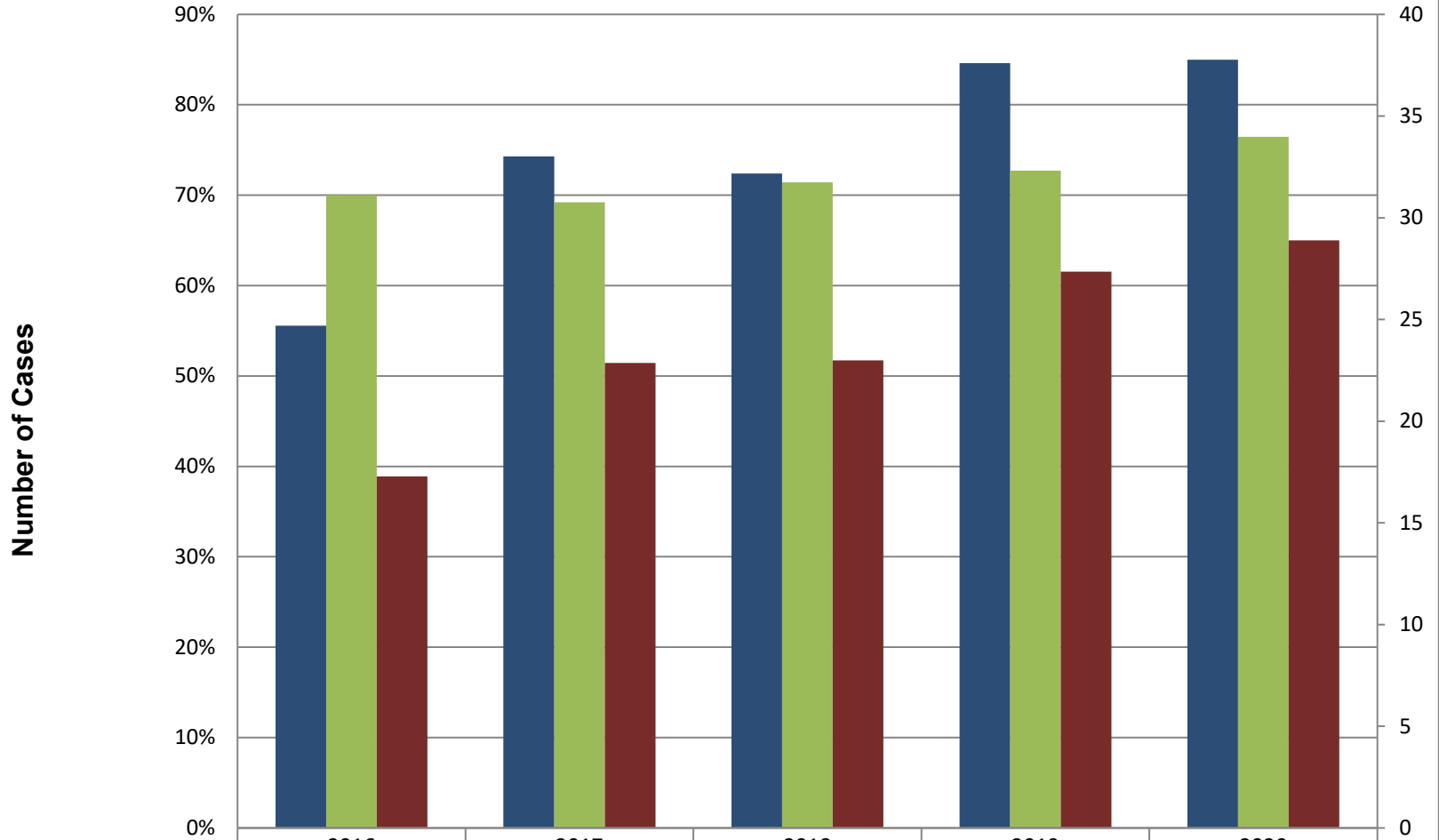
Early ADR Timeliness Trends, Process Overview



| | 2016 | 2017 | 2018 | 2019 | 2020 |
|---|------|------|------|------|------|
| Mediation Date to Closure Letter | 20 | 46 | 43 | 54 | 41 |
| Licensee Agreement to Mediate to Mediation Date | 86 | 107 | 113 | 75 | 89 |
| Alleger to Licensee Agreement to Date | 19 | 23 | 24 | 32 | 25 |
| Offer Date to Alleger Agreement to Mediate Date | 37 | 68 | 43 | 30 | 54 |
| No. of cases settled | 14 | 18 | 15 | 8 | 13 |

Graph 7

Early ADR Case Trends, Success Rate



| | | | | | |
|----------------------------|-----|-----|-----|-----|-----|
| ■ % of open cases mediated | 56% | 74% | 72% | 85% | 85% |
| ■ % Mediated cases settled | 70% | 69% | 71% | 73% | 76% |
| ■ % of open cases settled | 39% | 51% | 52% | 62% | 65% |
| ADR cases opened | 36 | 35 | 29 | 13 | 20 |