STERLING DILIGENCE

BACKGROUND REPORT

## RE: [First Name] [Middle Initial] [Last Name]

Date: [Date Generated]

*- PERSONAL AND CONFIDENTIAL -*

STERLING DILIGENCE BACKGROUND REPORT

[FIRST NAME] [MIDDLE INITIAL] [LAST NAME]

[Employer1 City], [Employer1 State]

[Current City], [Current State]

July 31, 2020

**SUMMARY RESULTS TABLE**

|  |  |  |  |
| --- | --- | --- | --- |
| **COMPONENTS INVESTIGATED** | **RESULTS** | | **COMMENTS** |
| Personal Identification Profile | Clear | | Confirmed |
| *Discrepancy Identified* | | <Investigator to insert discrepancy here> |
| Name & Address Verification & History | Clear | | [Last Name] has jurisdictional ties to <investigator to add relevant county/counties>, [State1], <investigator to add relevant county/counties>, [State2], <investigator to add relevant county/counties>, [State3] and <investigator to add relevant county/counties>, [State4] |
| Social Security Trace & Verification | Clear | | Confirmed |
| *Discrepancy Identified* | | <Investigator to insert discrepancy here> |
| Real Estate Property Ownership Records | No Records | |  |
| Record | | [Last Name] was identified as the owner of a property located in <investigator to insert County, State> |
| Records | | [Last Name] was identified as the owner of properties located in <Investigator to insert Counties and States> |
| Secretary of State Officer/Director & Other Corporate Records | Clear | | [Last Name] is a [Position1] of [Employer1] in [Employer1 City], [Employer1 State], since [Emp Start Date1] |
| Records | | [Last Name] is a [Position1] of [Employer1] in [Employer1 City], [Employer1 State], since [Emp Start Date1]  Further, [Last Name] was identified in connection with additional business entities |
| Education Verification | [Degree1] - Confirmed | | As confirmed, [Last Name] received a [Degree1] from [School1] in [Edu Location1] on [Grad Date1] |
| [Degree2] - Unconfirmed | | Additionally, [Last Name] reportedly earned a [Degree2] from [School2] in [Edu Location2] on [Grad Date2], however efforts to independently verify the same were unsuccessful |
| [Degree3] - *Results Pending* | | Additionally, [Last Name] reportedly earned a [Degree3] from [School3] in [Edu Location3] on [Grad Date3], *however efforts to independently verify the same are currently ongoing (the results of which will be provided under separate cover, if and when received)* |
| [Attendance] - Confirmed | | As confirmed, [Last Name] attended [School1] in [Edu Location1] from [YYYY] to [YYYY], however, did not earn a degree |
| [Attendance] - Unconfirmed | | [Last Name] reportedly attended [School1] in [Edu Location1] from [YYYY] to [YYYY], however, did not earn a degree, and efforts to independently verify the same were unsuccessful |
| [Attendance] - *Results Pending* | | [Last Name] reportedly attended [School1] in [Edu Location1] from [YYYY] to [YYYY], however, did not earn a degree, *and efforts to independently verify the same are currently ongoing, (the results of which will be provided under separate cover, if and when received)* |
| N/A | | No educational credentials were identified in connection with [Last Name], and further details in this regard -- if any -- would be required from the subject in order to pursue confirmation of the same |
| Professional Licenses & Designations | Clear | |  |
| Records | | [Last Name] holds a [Professional License Type1] license with the [PL Organization1]  [Last Name] was previously registered with the U.S. SEC  Further, <investigator to insert regulatory hits here> |
| Regulatory Searches & Verification | Clear | |  |
| Records | | <investigator to insert regulatory hits here> |
|  | Clear | |  |
| Driving History | Record  [Hit w/ Consent] | | <investigator to insert summary here> |
| Records  [Hits w/ Consent] | | <investigator to insert summary here> |
| N/A  [No Consent or hits] | | Driving history records cannot be obtained without the subject’s express written authorization |
| Personal Credit History & Information | Clear | |  |
| Records | | With the subject’s express written authorization, [Last Name]’s personal credit history was retrieved, which revealed <investigator to insert summary here> |
| N/A | | Credit history information cannot be obtained without the subject’s express written authorization |
| **Bankruptcy, Civil Litigation & Other Filings** | | | |
| Bankruptcy Court Filings | Clear | |  |
| Record | | [Last Name] was identified as having been a <party type> in connection with a <case type>, which was recorded in <State> in <YYYY>, and is currently <status> |
| Records | | [Last Name] was identified as a <party type> in connection with at least <number> <case type>, which were recorded in <States> between <YYYY> and <YYYY>, and are currently <status> |
| Civil Court Litigation Records – Federal (Nationwide), State & County Courts | Clear | |  |
| Record | | [Last Name] was identified as a <party type> in connection with a civil litigation filing, which were recorded in <State> in <YYYY>, and is currently <status> |
| Records | | [Last Name] was identified as a <party type> in connection with at least <number> civil litigation filings, which were recorded in <States> between <YYYY> and <YYYY>, and are currently <status> |
| Tax Liens & Civil Judgments | Clear | |  |
| Record | | [Last Name] was identified as a <party type> in connection with a <record type>, which was filed in <State> in <YYYY>, and is currently <status> |
| Records | | [Last Name] was identified as a <party type> in connection with at least <number> <record types>, which were filed in <States> between <YYYY> and <YYYY>, and are currently <status> |
| Uniform Commercial Code Filings | Clear | |  |
| Record | | [Last Name] was identified as a <party type> in connection with a UCC filing, which was recorded in <State> in <YYYY>, and is currently <status> |
| Records | | [Last Name] was identified as a <party type> in connection with at least <number> UCC filings, which were recorded in <States> between <YYYY> and <YYYY>, and are currently <status> |
| **Criminal Records** | | | |
| Criminal Records – Federal, State  & County Courts | Clear | |  |
| Record | | [Last Name] was identified as a Defendant in connection with a <case type>, which was recorded in <State> in <YYYY>, and is currently <status> |
| Records | | [Last Name] was identified as a Defendant in connection with at least <record types>, which were recorded in <State> between <YYYY> and <YYYY>, and are currently <status> |
| **Press & Other Media Searches** | | | |
| News Media Searches – Print Publications and Internet Sources. Includes expanded search of investment publications, etc. | | Clear | No adverse or materially-significant information was identified |
| Records | <investigator to insert press summaries here> |
| *Potentially-Relevant Information* | <investigator to insert press summaries here> |
| **Global Security & Regulatory Searches** | | | |
| **Sanctions Bodies Searched:** | | | |
| Department of Foreign Affairs and Trade, Australia | | Clear |  |
| European Union Consolidated List of Persons, Groups, Equity | | Clear |  |
| HM Treasury Consolidated List of Financial Sanctions Targets (formerly Bank of England Sanctions) | | Record | <investigator to insert summary here> |
| U.S. Bureau of Industry and Security List of Denied Persons, Entities List and Unverified List | | Clear |  |
| U.S. Department of State Foreign Terrorist Organizations | | Clear |  |
| U.S. Directorate of Defense Trade Controls Debarred Parties Lists | | Clear |  |
| U.S. General Services Administration Lists of Parties Excluded from Federal Procurement and Non-Procurement Programs | | Clear |  |
| U.S. Office of Foreign Assets Control | | Clear |  |
| United Nations Consolidated Sanctions | | Clear |  |
| World Bank List of Ineligible Firms and Individuals | | Clear |  |
| **Law Enforcement Bodies Searched:** | | | |
| City of London Police (U.K.) | Clear | |  |
| Constabularies of Cheshire, Lancashire, and Devon and Cornwall (U.K.) | Clear | |  |
| Hampshire Police (U.K.) | Clear | |  |
| Hong Kong Police Force | Clear | |  |
| Interpol | Clear | |  |
| Metropolitan Police Service (U.K.) | Clear | |  |
| National Crime Squad | Clear | |  |
| North Yorkshire Police (U.K.) | Clear | |  |
| Nottinghamshire Police (U.K.) | Clear | |  |
| Surrey Police (U.K.) | Clear | |  |
| Thames Valley Police (U.K.) | Clear | |  |
| U.S. Federal Bureau of Investigation | Clear | |  |
| U.S. Secret Service | Clear | |  |
| Warwickshire Police (U.K.) | Clear | |  |
| **Regulatory Enforcement Bodies Searched:** | | | |
| Alberta Securities Commission, Canada | Clear | |  |
| Assets Recovery Agency | Clear | |  |
| Australian Prudential Regulation Authority | Clear | |  |
| Australian Securities and Investments Commission | Clear | |  |
| Banque de France, CECEI, France | Clear | |  |
| Banque de France, Commission Bancaire, France | Clear | |  |
| British Virgin Islands Financial Services Commission | Clear | |  |
| Cayman Islands Monetary Authority | Clear | |  |
| Commission de Surveillance du Secteur Financier, Luxembourg | Clear | |  |
| Commodity Futures Trading Commission | Clear | |  |
| Council for Financial Activities Control, Brazil | Clear | |  |
| Departamento de Investigacoes Sobre Narcoticos, Brazil | Clear | |  |
| Department of Labour Inspection – Combating Forced Labour, Brazil | Clear | |  |
| Federal Deposit Insurance Commission | Clear | |  |
| Federal Reserve Board | Clear | |  |
| Financial Action Task Force | Clear | |  |
| Financial Crimes Enforcement Network | Clear | |  |
| Financial Industry Regulatory Authority | Clear | |  |
| Financial Regulator, Ireland | Clear | |  |
| Hong Kong Monetary Authority | Clear | |  |
| Hong Kong Securities and Futures Commission | Clear | |  |
| Investment Dealers Association of Canada | Clear | |  |
| Investment Management Regulatory Organisation | Clear | |  |
| Isle of Man Financial Supervision Commission | Clear | |  |
| Jersey Financial Services Commission | Clear | |  |
| Lloyd’s Insurance Arimbolaet | Clear | |  |
| Monetary Authority of Singapore | Clear | |  |
| National Credit Union Administration | Clear | |  |
| New York Stock Exchange | Clear | |  |
| Office of the Comptroller of the Currency | Clear | |  |
| Office of the Superintendent of Financial Institutions, Canada | Clear | |  |
| Personal Investment Authority | Clear | |  |
| Resolution Trust Corporation | Clear | |  |
| Securities and Exchange Commission, U.S. | Clear | |  |
| Securities and Exchange Commission, Brazil  (Brazil Comissão de Valores Mobiliários) | Clear | |  |
| Securities and Futures Authority | Clear | |  |
| Swedish Financial Supervisory Authority (Finansinspektionen) | Clear | |  |
| Swiss Federal Banking Commission | Clear | |  |
| U.K. Companies House Disqualified Directors Register | Clear | |  |
| U.K. Financial Conduct Authority Regulatory Enforcements | Clear | |  |
| U.S. Court of International Trade | Clear | |  |
| U.S. Department of Justice | Clear | |  |
| U.S. Federal Trade Commission | Clear | |  |
| U.S. National Futures Association | Clear | |  |
| U.S. Office of Thrift Supervision | Clear | |  |
| U.S. Court of International Trade | Clear | |  |
| U.S. Department of Justice | Clear | |  |
| U.S. Federal Trade Commission | Clear | |  |
| U.S. National Futures Association |  | |  |
| U.S. Office of Thrift Supervision | Clear | |  |
| **High Profile Persons Data Bodies Searched**: | | | |
| Central Intelligence Agency - Heads of State/Government | Clear | |  |
| International Consortium of Investigative Journalists (ICIJ) | Clear | |  |
| **END** | | |  |

**EXECUTIVE SUMMARY**

At the request of [Client Name] (“Client”), Sterling Diligence undertook a background and employment due diligence investigation in the United States in connection with [First Name] [Middle Initial] [Last Name], which was aimed at identifying any of the following: criminal activity; civil litigation filings; liens and judgments; bankruptcies; corporate and other business associations and filings; regulatory and professional status; adverse media reports; and any other matters which would reflect potential issues of character and integrity.

|  |  |
| --- | --- |
| Has Educational and licensing Hits? | |
| Yes | No |
| Additionally, efforts included verification of the subject’s educational and licensing credentials, where available. | (leave blank) |

|  |  |
| --- | --- |
| Has Educational Hits only? | |
| Yes | No |
| Additionally, efforts included verification of the subject’s educational credentials, where available. | (leave blank) |

|  |  |
| --- | --- |
| Has Professional Licensure Hits only? | |
| Yes | No |
| Additionally, efforts included verification of the subject’s licensing credentials, where available. | (leave blank) |

|  |  |
| --- | --- |
| Has Legal Records, Judgments or Liens Hits? | |
| Yes | No |
| Searches were conducted through legal records and other sources in the United States in order to locate any bankruptcy filings or other claims, evidence of criminal charges or government actions, civil litigation filings, or liens or judgments in connection with the subject, and the following records were identified:  <Investigator to insert summarized findings > | Searches of legal records and other sources in the United States did not locate any bankruptcy filings or other claims, evidence of criminal charges or government actions, civil litigation filings, or liens or judgments in connection with the subject, personally. |

|  |  |
| --- | --- |
| Has Regulatory or Global Security Hits? | |
| Yes | No |
| Searches also were conducted of relevant legal and regulatory agencies in the United States, while anti-terrorist, anti-money laundering and other compliance searches were global in scope, and the following records were identified in connection with the subject:  <Investigator to insert summarized findings > | Searches also were conducted of relevant legal and regulatory agencies in the United States, while anti-terrorist, anti-money laundering and other compliance searches were global in scope, and no such records were identified in connection with the subject. |

|  |  |  |  |
| --- | --- | --- | --- |
| Has Hits Above? | | | |
| Yes | | No | |
| Has Companion Reports? | | Has Companion Reports? | |
| Yes | No | Yes | No |
| *In sum, with the exception of the above, no other issues of potential relevance were identified in connection with [First Name] [Middle Initial] [Last Name] in the United States.* A Companion Report was prepared in connection with <Companion Subject> and was provided under separate cover. <Investigator to modify for multiple Companion Reports if applicable> | *In sum, with the exception of the above, no other issues of potential relevance were identified in connection with [First Name] [Middle Initial] [Last Name] in the United States.* | *In sum, no issues of potential relevance were identified in connection with [First Name] [Middle Initial] [Last Name] in the United States.* A Companion Report was prepared in connection with <Companion Subject> and was provided under separate cover. <Investigator to modify for multiple Companion Reports if applicable> | *In sum, no issues of potential relevance were identified in connection with [First Name] [Middle Initial] [Last Name] in the United States.* |

The following presents the results of Sterling Diligence’s investigation in detail.

[FIRST NAME] [MIDDLE INITIAL] [LAST NAME]

[Employer1 City], [Employer1 State]

[Current City], [Current State]

STERLING DILIGENCE BACKGROUND REPORT[[1]](#footnote-1), [[2]](#footnote-2)

July 31, 2020

*PERSONAL AND CONFIDENTIAL*

##### **I. PERSONAL IDENTIFICATION**[[3]](#footnote-3)

Name: [First Name] [Middle Name] [Last Name] ([Full Aliases])[[4]](#footnote-4)

Date of Birth: [Date of Birth]

Social Security Number: [First three digits of SSN]-[Middle two digits of SSN]-XXXX

Most Recent Address: [Current Full Address]

[First Name] [Middle Initial] [Last Name] (hereafter referred to as “[Last Name]” or “the subject”) has been associated with several addresses and/or jurisdictions within the past **10** years or so in <investigator to add relevant county/counties>, [State1], <investigator to add relevant county/counties>, [State2], <investigator to add relevant county/counties>, [State3] and <investigator to add relevant county/counties>, [State4], and investigative efforts were conducted in these jurisdictions.

|  |  |
| --- | --- |
| Recommend Additional Jurisdictions? | |
| Yes | No |
| Additionally, the subject has historical and/or possible ties to <investigator to add all relevant historical and/or possible counties/jurisdictions>, and additional research would be required in these jurisdictions, which can be undertaken upon request -- if an expanded scope is warranted. | (leave blank) |

1. **PROPERTY RECORDS**

|  |  |
| --- | --- |
| Current Residential Property is owned by subject? | |
| Yes | No |
| Current ownership records are identified in connection with a certain property located at [Current Full Address]. According to <County> County, <State> property records, the subject purchased this property for <purchase price> from <seller names> on <date>. <Investigator to insert other mortgage information or UCC details here>. This property had a total market value of <amount> as of <YYYY>.[[5]](#footnote-5) | While [Last Name] currently resides at [Current Full Address], the subject was not identified as the owner of the same. <Investigator to insert property record or rental information >. |

|  |  |
| --- | --- |
| Other Property Ownership information? | |
| Yes | No |
| Current ownership records are also identified in connection with a certain property located at <address>. According to <County> County, <State> property records, the subject purchased this property for <purchase price> from <seller names> on <date>. <Investigator to insert other mortgage information or UCC details here>. This property had a total market value of <amount> as of <YYYY>. | (leave blank) |

|  |  |  |
| --- | --- | --- |
| Previous Property Ownership Results? | | |
| Yes, multiple | Yes, only one | No |
| Further, previous ownership records were identified in connection with the following properties, which are located in <add Counties/States>:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | Previous ownership records were identified in connection with a certain property located at <address>. According to <County> County, <State> property records, the subject sold this property for <sale price> to <buyer names> on <date>. | (leave blank) |

**III. BUSINESS AFFILIATIONS AND EMPLOYMENT HISTORY**[[6]](#footnote-6)

The following employment history, as reported on [Last Name]’s resume, *LinkedIn* profile and/or other biographical materials,[[7]](#footnote-7) has been verified through Human Resources Departments or other sources unless otherwise noted below, and where the subject’s exact location of employment was unidentified, company headquarter locations are listed for reference:

* **[Employer1]**

[Emp Location1 City], [Emp Location1 State]

[Position 1]

[Emp Start Date1] to Present

|  |  |  |
| --- | --- | --- |
| Current Position1 Confirmed? | | |
| No | Yes | No – Client is current employer |
| In order to preserve the confidentiality of this investigation, [Employer1] was not contacted to confirm the subject's tenure with the same, however, research efforts can be conducted at a later date upon request.  <Investigator to insert any additional information found here>. | In order to preserve the confidentiality of this investigation, [Employer1] was not contacted directly to confirm the subject's tenure with the same. However, <Investigator to insert verification information found here>. | As the client is aware, the subject is currently employed as a [Position1] with [Employer1] since [Emp Start Date1]. |

* **[Employer2]**

[Emp Location2 City], [Emp Location2 State]

[Position 2]

[Emp Start Date2] to [Emp End Date2]

|  |  |  |  |
| --- | --- | --- | --- |
| Previous Position2 Confirmed? | | | |
| Yes – By Representative | Yes – By TWN | No | *Results Pending* |
| As confirmed by a representative of the company, [Last Name] was previously employed as a [Position2] with [Employer2] from [Emp Start Date2] to [Emp End Date2]. <Investigator to insert any additional information found here>. | As confirmed through an automated third-party verification service utilized by <investigator to insert company name>, [Last Name] was previously employed as a [Position2] from [Emp Start Date2] to [Emp End Date2]. | Efforts to confirm the subject’s employment with [Employer2] were met with negative results <Investigator to insert reason for failed verification here>. | *Efforts to confirm the subject’s employment with [Employer2] are currently ongoing, the results of which will be provided under separate cover, if and when received.* |

|  |  |  |
| --- | --- | --- |
| Business Affiliations Identified? | | |
| Yes | Yes – Board Member | No |
| In addition to the above, research of records maintained by the Secretary of State’s Office, as well as other sources, revealed the subject in connection with the following business entities:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | In addition to the above, research of records maintained by the Secretary of State’s Office, as well as other sources, identified [Last Name] in connection with the following business entities (those entities where the subject serves and/or has previously served as a Board Member are denoted with an asterisk (“\*”)):   * <Investigator to insert bulleted list of results here> | In addition to the above, research of records maintained by the Secretary of State’s Office, as well as other sources, did not identify the subject in connection with any business entities. |

|  |  |
| --- | --- |
| Intellectual Property Identified? | |
| Yes | No |
| Moreover, research of records maintained by the United States Patent and Trademark Office (“USPTO”) and the World Intellectual Property Organization (“WIPO”) identified the subject as a Registrant/Owner in connection with the following trademarks and as an Applicant/Assignee/Inventor in connection with the following patents:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | (leave blank) |

##### **IV. EDUCATIONAL CREDENTIALS**

|  |  |  |
| --- | --- | --- |
| Educational Credential1 Confirmed? | | |
| Yes | No | *Results Pending* |
| As confirmed, [Last Name] received a [Degree1] from [School1] in [Edu Location1] on [Grad Date1], having attended the same from [Edu Start Date1] to [Edu End Date1]. | According to self-reported biographical information, [Last Name] reportedly received a [Degree1] from [School1] in [Edu Location1] on [Grad Date1], having reportedly attended the same from [Edu Start Date1] to [Edu End Date1]. However, efforts to independently verify the same were unsuccessful. <Investigator to insert reason for failed verification here>. | According to self-reported biographical information, [Last Name] reportedly received a [Degree1] from [School1] in [Edu Location1] on [Grad Date1], having reportedly attended the same from [Edu Start Date1] to [Edu End Date1]. *Efforts to independently confirm the subject’s tenure at the same are currently ongoing, the results of which will be provided under separate cover, if and when received.* |

|  |  |  |
| --- | --- | --- |
| Educational Credential1 Confirmed (attendance only option)? | | |
| Yes | No | *Results Pending* |
| As confirmed, [Last Name] attended [School1] in [Edu Location1] from [Edu Start Date1] to [Edu End Date1], however, did not earn a degree. | According to self-reported biographical information, [Last Name] reportedly attended [School1] in [Edu Location1] from [Edu Start Date1] to [Edu End Date1], however, did not earn a degree. Efforts to independently verify the same were unsuccessful. <Investigator to insert reason for failed verification here>. | According to self-reported biographical information, [Last Name] reportedly attended [School1] in [Edu Location1] from [Edu Start Date1] to [Edu End Date1], however, did not earn a degree. *Efforts to independently verify the same are currently ongoing, the results of which will be provided under separate cover, if and when received.* |

##### **PROFESSIONAL LICENSING**

|  |  |  |  |
| --- | --- | --- | --- |
| Has General Professional License? | | | |
| Yes | | | No |
| Professional License1 Confirmed? | | | (leave blank) |
| Yes | No | *Results Pending* |
| *[PL Organization1]*  As confirmed through records maintained by the [PL Organization1], [Last Name] holds a [Professional License Type1] license, with a license number of [PL Number1], which was issued on [PL Start Date1] and is set to expire on [PL End Date1], unless renewed.  There was no disciplinary history identified in connection with the subject’s license. <investigator to modify if disciplinary history exists> | *[PL Organization1]*  According to self-reported biographical information, [Last Name] holds a [Professional License Type1] license with the [PL Organization1], with a license number [PL Number1], which was issued on [PL Start Date1] and is set to expire on [PL End Date1], unless renewed. However, efforts to independently verify the same were unsuccessful. <Investigator to insert reason for failed verification here> | According to self-reported biographical information, [Last Name] holds a [Professional License Type1] license with the [PL Organization1], with a license number [PL Number1], which was issued on [PL Start Date1] and is set to expire on [PL End Date1], unless renewed. *Efforts to independently verify the same are currently ongoing, the results of which will be provided under separate cover, if and when received.* |

|  |  |  |
| --- | --- | --- |
| Registered with U.S. SEC? | | |
| Yes - With Adverse | Yes - Without Adverse | No |
| *United States Securities and Exchange Commission*  According to records maintained by the United States Securities and Exchange Commission (“SEC”), [Last Name] has been registered, with a Central Registration Depository (“CRD”) number of <number>, as an Investment Adviser Firm Representative of <entity> (effective as of <dates>).    Further, the subject reportedly passed the following examinations: the Series <number> (<series name>) on <date>; and the Series <number> (<series name>) on <date>.    Further, the following disclosure events were reported on the subject’s SEC registration:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here>   With the exception of the above, no additional disclosure events, such as formal investigations, disciplinary actions, customer disputes and/or criminal charges or convictions, were on file with the SEC in connection with [Last Name]’s registration. | *United States Securities and Exchange Commission*  According to records maintained by the United States Securities and Exchange Commission (“SEC”), [Last Name] has been registered, with a Central Registration Depository (“CRD”) number of <number>, as an Investment Adviser Firm Representative of <entity> (effective as of <dates>).    Further, the subject reportedly passed the following examinations: the Series <number> (<series name>) on <date>; and the Series <number> (<series name>) on <date>.    No disclosure events, such as formal investigations, disciplinary actions, customer disputes and/or criminal charges or convictions, were on file with the SEC in connection with [Last Name]’s registration. | (leave blank) |

|  |  |  |
| --- | --- | --- |
| Registered with U.K. FCA? | | |
| Yes - With Adverse | Yes - Without Adverse | No |
| *United Kingdom’s Financial Conduct Authority*  According to records maintained by the United Kingdom’s Financial Conduct Authority (“FCA”), [Last Name], with an individual reference number of <number>, has been registered in the controlled functions of <insert controlled functions, entities and effective dates>.    Further, the following supervisory, disciplinary and/or civil regulatory actions are on file with the FCA against the subject:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | *United Kingdom’s Financial Conduct Authority*  According to records maintained by the United Kingdom’s Financial Conduct Authority (“FCA”), [Last Name], with an individual reference number of <number>, has been registered in the controlled functions of <insert controlled functions, entities and effective dates>.    There are no records of any supervisory, disciplinary or civil regulatory actions on file with the FCA against the subject. | (leave blank) |

|  |  |  |
| --- | --- | --- |
| Registered with FINRA? | | |
| Yes - With Adverse | Yes - Without Adverse | No |
| *United States Financial Industry Regulatory Authority*  According to records maintained by the United States Financial Industry Regulatory Authority (“FINRA”), [Last Name] has been registered, with a Central Registration Depository (“CRD”) number of <number>, in connection with <entity> (effective as of <dates>).    Additionally, the subject reportedly passed the following examinations: the nSeries <number> (<series name>) on <date>; and the Series <number> (<series name>) on <date>.  Further, the following customer disputes, disciplinary actions, and/or regulatory events were identified in connection with this registration:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | *United States Financial Industry Regulatory Authority*  According to records maintained by the United States Financial Industry Regulatory Authority (“FINRA”), [Last Name] has been registered, with a Central Registration Depository (“CRD”) number of <number>, in connection with <entity> (effective as of <dates>).    Additionally, the subject reportedly passed the following examinations: the Series <number> (<series name>) on <date>; and the Series <number> (<series name>) on <date>.  No customer disputes, disciplinary actions, and/or regulatory events were identified in connection with this registration. | (leave blank) |

|  |  |  |
| --- | --- | --- |
| Registered with U.S. NFA? | | |
| Yes - With Adverse | Yes - Without Adverse | No |
| *United States National Futures Association*  [Last Name] has been registered with the United States National Futures Association (“NFA”), with the identification number of <number>, as a <role> (effective as of <dates>)), as well as in the capacity of an <capacity> (effective as of <dates>) with <entity>.  Additionally, the following regulatory actions, NFA Arbitration Awards and/or Commodity Futures Trading Commission (“CFTC”) Reparations Cases were reported in connection with the subject:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | *United States National Futures Association*  [Last Name] has been registered with the United States National Futures Association (“NFA”), with the identification number of <number>, as a <role> (effective as of <dates>) as well as in the capacity of an <capacity> (effective as of <dates>) with <entity>.  No regulatory actions, NFA Arbitration Awards or Commodity Futures Trading Commission (“CFTC”) Reparations Cases were reported in connection with the subject. | (leave blank) |

|  |  |  |
| --- | --- | --- |
| Registered with HKSFC? | | |
| Yes - With Adverse | Yes - Without Adverse | No |
| *Hong Kong Securities and Futures Commission*  [Last Name] has been registered with the Hong Kong Securities and Futures Commission (“HKSFC”), with the identification number of <number>, as a <role> (effective as of <dates>)), in the regulated activity of <capacity> (effective as of <dates>) with <entity>.  Additionally, the following public disciplinary actions were on file in connection with the subject:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | *Hong Kong Securities and Futures Commission*  [Last Name] has been registered with the Hong Kong Securities and Futures Commission (“HKSFC”), with the identification number of <number>, as a <role> (effective as of <dates>)), in the regulated activity of <capacity> (effective as of <dates>) with <entity>.  There are no public disciplinary actions on file against the subject within the past five years. | (leave blank) |

|  |  |
| --- | --- |
| Holds Any License Above? | |
| Yes | No |
| *Other Professional Licensures and/or Designations*  Investigative efforts did not reveal any additional professional licensure or registration information in connection with [Last Name], personally, however, further efforts would be required on a jurisdiction and license-type basis to confirm the same. <investigator to add or remove any sources that came back with hits above or are needed for this jurisdiction> | *Other Professional Licensures and/or Designations*  Investigative efforts did not reveal any professional licensure or registration information in connection with [Last Name], personally, however, further efforts would be required on a jurisdiction and license-type basis to confirm the same. <investigator to add any other relevant sources> |

1. **REGULATORY, COMPLIANCE AND OTHER SEARCHES**

*Other Financial and Securities Regulators*

|  |  |  |
| --- | --- | --- |
| Any Other Regulatory Red Flags? | | |
| Yes | No | No – Medical |
| In addition to the above, national financial institutions sanctions and legal actions were searched covering the banking, mortgage and securities industries,[[8]](#footnote-8) and the following information was identified in connection with [Last Name]:  <Investigator to insert results here> | In addition to the above, national financial institutions sanctions and legal actions were searched covering the banking, mortgage and securities industries,[[9]](#footnote-9) and it is noted that [Last Name] was not identified in any of these records. | In addition to the above, national financial institutions sanctions and legal actions were searched covering the banking, mortgage and securities industries, as well as in an effort to identify any medical compliance issues or other regulatory events,[[10]](#footnote-10) and it is noted that [Last Name] was not identified in any records. |

###### VII. COURT AND OTHER PUBLIC RECORDS SEARCHES

Covering a period of at least ten years or so, bankruptcy, criminal and civil court records were searched on a federal, state and county level in the jurisdictions in which [Last Name] has resided and/or has conducted business. Additionally, it is noted that searches of the United States District and Bankruptcy Courts were nearly national in scope.The following is a summary of the courts searched and any actions found with regard to [Last Name], personally:

*Bankruptcy Filings*

|  |  |  |
| --- | --- | --- |
| Has Bankruptcy Records Hits? | | |
| Yes | No | No, Common Name |
| Efforts pursued in [State1], [State2], [State3] and [State4][[11]](#footnote-11) identified the subject, personally, as a <party type> in connection with the following bankruptcy filings:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here>   <Investigator to insert bulleted list of results here> | Efforts pursued in [State1], [State2], [State3] and [State4][[12]](#footnote-12) did not identify the subject, personally, in connection with any bankruptcy filings. | Efforts pursued in [State1], [State2], [State3] and [State4][[13]](#footnote-13) did not identify the subject, personally, in connection with any bankruptcy filings.  In light of the commonality of [Last Name]’s name, this portion of the investigation was conducted utilizing the subject’s Social Security number, in order to identify only those records conclusively relating to the subject of interest. |

*Criminal Records*

|  |  |  |  |
| --- | --- | --- | --- |
| Has Criminal Record hits? | | | |
| Yes | No | No, Common Name | *Results Pending* |
| Specific efforts pursued in relevant jurisdictions in State1],[[14]](#footnote-14) [State2],[[15]](#footnote-15) [State3][[16]](#footnote-16) and [State4][[17]](#footnote-17) identified the subject as a Defendant in connection with the following criminal record:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | Specific efforts pursued in relevant jurisdictions in State1],[[18]](#footnote-18) [State2],[[19]](#footnote-19) [State3][[20]](#footnote-20) and [State4][[21]](#footnote-21) did not identify the subject in connection with any criminal records. | Specific efforts pursued in relevant jurisdictions in State1],[[22]](#footnote-22) [State2],[[23]](#footnote-23) [State3][[24]](#footnote-24) and [State4][[25]](#footnote-25) did not identify the subject in connection with any criminal records.  In light of the commonality of [Last Name]’s name, this portion of the investigation was conducted utilizing the subject’s date of birth and Social Security number, in order to identify only those records conclusively relating to the subject of interest. Records may exist that do not contain this type of identifying information, and an expanded scope would be required in this regard. | *While a criminal records search is currently pending through the <investigator to insert source/court/law enforcement agency> (the results of which will be provided under separate cover upon receipt)*, specific efforts pursued in other relevant jurisdictions in State1],[[26]](#footnote-26) [State2],[[27]](#footnote-27) [State3][[28]](#footnote-28) and [State4][[29]](#footnote-29) did not identify the subject in connection with any criminal records. |

|  |  |
| --- | --- |
| Has Bureau of Prison Hits? | |
| Yes | No |
| In addition, research efforts are conducted of Federal Bureau of Prisons (“BOP”) incarceration records, which reports felony inmate records on a nearly-nationwide basis.  In this regard, the following information was identified in connection with [Last Name]:  <Investigator to insert results here> | In addition, research efforts are conducted of Federal Bureau of Prisons (“BOP”) incarceration records, which reports felony inmate records on a nearly-nationwide basis.  In this regard, no such records were revealed relating to the subject. |

|  |  |
| --- | --- |
| Has Sex Offender Registry Hits? | |
| Yes | No |
| Research efforts were further conducted through the United States Department of Justice’s National Sex Offender Registry, which contains sex offender registry information from the 50 states, the District of Columbia and the territories of Guam and Puerto Rico. The public availability of sex offender-related information varies by state. In this regard, the following information was identified in connection with [Last Name]:  <Investigator to insert results here> | Research efforts were further conducted through the United States Department of Justice’s National Sex Offender Registry, which contains sex offender registry information from the 50 states, the District of Columbia and the territories of Guam and Puerto Rico. The public availability of sex offender-related information varies by state. No records were identified for the subject. |

*Civil Litigation Filings*

|  |  |  |  |
| --- | --- | --- | --- |
| Has Civil Records? | | | |
| Yes | | No | |
| Yes | Yes, *Results Pending* | No | No, *Results Pending* |
| Specific efforts pursued in relevant jurisdictions in State1],[[30]](#footnote-30) [State2],[[31]](#footnote-31) [State3][[32]](#footnote-32) and [State4][[33]](#footnote-33) identified the subject, personally, in connection with the following civil litigation filings:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | *While a civil court records search is currently pending through the <enter source/court> (the results of which will be provided under separate cover upon receipt)*, specific efforts pursued in other relevant jurisdictions in State1],[[34]](#footnote-34) [State2],[[35]](#footnote-35) [State3][[36]](#footnote-36) and [State4][[37]](#footnote-37) identified the subject, personally, in connection with the following civil litigation filings:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | Specific efforts pursued in relevant jurisdictions in State1],[[38]](#footnote-38) [State2],[[39]](#footnote-39) [State3][[40]](#footnote-40) and [State4][[41]](#footnote-41) did not identify the subject, personally, in connection with any civil litigation filings. | *While a civil court records search is currently pending through the <enter source/court> (the results of which will be provided under separate cover upon receipt)*, specific efforts pursued in other relevant jurisdictions in State1],[[42]](#footnote-42) [State2],[[43]](#footnote-43) [State3][[44]](#footnote-44) and [State4][[45]](#footnote-45) did not identify the subject in connection with any civil litigation filings. |

|  |  |
| --- | --- |
| Has United States Tax Court Hits? | |
| Yes | No |
| Additionally, research efforts were conducted of filings through the United States Tax Court, and the following information was identified in connection with [Last Name]:  <Investigator to insert results here> | Additionally, research efforts were conducted of filings through the United States Tax Court, and no records were identified for the subject. |

**VIII. TAX LIENS, JUDGMENTS AND UCCS**

|  |  |  |
| --- | --- | --- |
| Has Tax Liens, Civil Judgments or UCC Records? | | |
| Yes | | No |
| Yes, Records | Yes, Record | Investigative efforts did not reveal any tax liens, civil judgments or Uniform Commercial Code filings in connection with [Last Name]. |
| Investigative efforts revealed the following the subject as having been a debtor in connection with the following tax liens:   * <Investigator to insert bulleted list of results here>   Further, [Last Name] was also identified in connection with the following civil judgments:   * <Investigator to insert bulleted list of results here>   Additionally, the subject was in connection with several Uniform Commercial Code filings <Investigator to insert results here> | While the subject was not named in connection with any <investigator to insert clear record type (i.e. civil judgments or Uniform Commercial Code filings)>, [Last Name] was identified as a <party type> in connection with a <record type>, which was filed in <State> in <YYYY>, and is currently <status>. |

1. **DRIVER’S LICENSURE AND DRIVING HISTORY**

|  |  |
| --- | --- |
| Has Driving Hits? | |
| Yes | No |
| With consent | With Consent |
| It is noted that [Last Name] has a valid <State> driver’s license, which is set to expire in <expiration date (month and year only)>, unless renewed. A driving history report was requested from the <State driving agency>, covering the past three years or so, which revealed that the subject was cited for <Investigator to insert results>.  There were no other traffic violations, license suspensions or motor vehicle incidents involving the subject. | It is noted that [Last Name] has a valid <State> driver’s license, which is set to expire in <expiration date (month and year only)>, unless renewed. A driving history report was requested from the <State driving agency>, covering the past three years or so, which did not revealed any traffic violations, license suspensions or motor vehicle incidents involving the subject. |

**X. GLOBAL SECURITY**

|  |  |
| --- | --- |
| Has Global Security Hits on Subject? | |
| Yes | No |
| Research was undertaken in connection with various governmental, quasi-governmental and private sector list repositories maintained for purposes of international security, fraud prevention, anti-terrorism and anti-money laundering, including the List of Specially Designated Nationals and Blocked Persons of the United States Office of Foreign Assets Control (“OFAC”),[[46]](#footnote-46) and the following information was identified in connection with [Last Name]:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | Research was undertaken in connection with various governmental, quasi-governmental and private sector list repositories maintained for purposes of international security, fraud prevention, anti-terrorism and anti-money laundering, including the List of Specially Designated Nationals and Blocked Persons of the United States Office of Foreign Assets Control (“OFAC”),[[47]](#footnote-47) and it is noted that [Last Name] was not identified on any of these lists. |

|  |  |
| --- | --- |
| Has ICIJ Hits? | |
| Yes | No |
| Further, a review was conducted of the Offshore Leaks Database maintained by The International Consortium of Investigative Journalists (“ICIJ”). It is noted that the ICIJ database contains information on the more than 785,000 offshore companies, foundations and trusts from the Panama Papers, the Offshore Leaks, the Bahamas Leaks and the Paradise Papers investigations. The data covers nearly 80 years up to 2016 and links to people and companies in more than 200 countries and territories. The database is not intended to suggest or imply that any persons, companies or other entities included have broken the law or otherwise acted improperly. The following information was identified in connection with the subject:   * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> * <Investigator to insert bulleted list of results here> | Further, a review was conducted of the Offshore Leaks Database maintained by The International Consortium of Investigative Journalists (“ICIJ”). It is noted that the ICIJ database contains information on the more than 785,000 offshore companies, foundations and trusts from the Panama Papers, the Offshore Leaks, the Bahamas Leaks and the Paradise Papers investigations. The data covers nearly 80 years up to 2016 and links to people and companies in more than 200 countries and territories. The database is not intended to suggest or imply that any persons, companies or other entities included have broken the law or otherwise acted improperly. The subject was not identified through the same. |

### PERSONAL CREDIT HISTORY

|  |  |  |
| --- | --- | --- |
| Was credited obtained (have consent)? | | |
| Yes | | No |
| Credit with Adverse Hits | Credit with No Adverse Hits | (leave blank) |
| With [Last Name]’s express written authorization, the subject’s personal credit history was retrieved, which revealed that <Investigator to insert summary of trade account information here>.  Further, <Investigator to insert summary of adverse results here>.  There were no additional payment delinquencies, collections accounts or public records, such as tax liens, judgments or bankruptcies, reported in his credit file for the past seven years or so. | With [Last Name]’s express written authorization, the subject’s personal credit history was retrieved, which revealed that <Investigator to insert summary of trade account information here>.  There were no payment delinquencies, collections accounts or public records, such as tax liens, judgments or bankruptcies, reported in his credit file for the past seven years or so. |

**XII. PRESS AND OTHER MEDIA RESEARCH**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Common Name with Adverse Hits | Common Name without Adverse Hits | High Volume with Adverse Hits | High Volume without Adverse Hits | Standard Search with Adverse Hits | Standard Search without Adverse Hits | No Hits |
| Due to the commonality of the subject's name, searches were structured and designed to identify specific reports relating to [Last Name] with a variety of negative search terms and derivatives thereof within the past <timeframe>. Further, the subject’s name was also searched using a variety of other terms, focusing on the subject’s employment history, and a thorough review of the same revealed the following adverse or potentially-relevant information:  <Investigator to insert article summaries here> | Due to the commonality of the subject's name, searches were structured and designed to identify specific reports relating to [Last Name] with a variety of negative search terms and derivatives thereof within the past <timeframe>. Further, the subject’s name was also searched using a variety of other terms, focusing on the subject’s employment history, and a thorough review of the same did not identify any adverse or materially-significant information in connection with [Last Name]. | Due to the volume of press and other media sources identified in connection with the subject, searches were structured and designed to identify specific reports relating to [Last Name] with a variety of negative search terms and derivatives thereof within the past <timeframe>. Further, the subject’s name was also searched using a variety of other terms, focusing on the subject’s employment history, and a thorough review of the same revealed the following adverse or potentially-relevant information:  <Investigator to insert article summaries here>] | Due to the volume of press and other media sources identified in connection with the subject, searches were structured and designed to identify specific reports relating to [Last Name] with a variety of negative search terms and derivatives thereof within the past <timeframe>. Further, the subject’s name was also searched using a variety of other terms, focusing on the subject’s employment history, and a thorough review of the same did not identify any adverse or materially-significant information in connection with [Last Name]. | Extensive press and other media research, including searches of international, national, regional and local newspapers, magazines, trade and finance journals, as well as Internet sources, identified various articles and/or media references in connection with [Last Name], and a thorough review of the same revealed the following adverse or potentially-relevant information:  <Investigator to insert article summaries here> | Extensive press and other media research, including searches of international, national, regional and local newspapers, magazines, trade and finance journals, as well as Internet sources, identified various articles and/or media references in connection with [Last Name], and a thorough review of the same did not identify any adverse or materially-significant information. | Extensive press and other media research, including searches of international, national, regional and local newspapers, magazines, trade and finance journals, as well as Internet sources, did not identify any articles and/or media references in connection with [Last Name]. |

\*\*\*

We hope this report satisfies your request for background and employment due diligence investigation relating to this subject. If you have any questions or comments about this report or our findings, please contact us and reference Case Number [Case Number]. As always, thank you for the opportunity to be of service.

1. The confidentiality of this information should be stressed, and unless required to do so by law, disseminating or otherwise distributing this information to the subject of this report or to any unauthorized parties without the express written authorization of Sterling Diligence is strictly prohibited. Further, it is noted that this report was prepared for employment-related purposes, and please do not provide a copy to the subject unless required to do so by law.

   As you are aware, our findings are provided to you for informational purposes only, and you confirm that your request for this employment-related screening background investigation is based on a purpose permitted by the Federal Fair Credit Reporting Act (“FCRA”) or State Fair Credit Reporting Act, and you acknowledge understanding your responsibilities under such principles and that you will comply with such requirements. As such, you also agree to protect the information provided to you from any unauthorized access and to maintain it in a secure manner. [↑](#footnote-ref-1)
2. It is understood that due to the nature of the origin of public record information, the reliability of database results can be highly variable, and there may be information which has never been reported to or is not available through various database services. Further, databases typically maintain information as acquired through or from an original source, and since queries are character specific and sensitive to spelling precision, research results are dependent upon the accuracy and correctness of the source data, which is sometimes reported or entered inaccurately, processed poorly or incorrectly, and is generally not free from defect. In this regard, additional research has been undertaken to independently verify specific results during the course of this investigation. [↑](#footnote-ref-2)
3. For privacy and confidentiality reasons, the subject’s full date of birth has been omitted from this report, and for the purposes of this investigation, this and other identification information regarding the subject has been confirmed. It is noted, however, that [Last Name]’s Social Security number was issued in <investigator to add State of issuance and YYYY(s)>, and for the purposes of this investigation, this and other identification information regarding the subject has been confirmed as well. [↑](#footnote-ref-3)
4. It is noted that the subject was identified in connection with the name variation "[Full Alias Name]," and investigative efforts were undertaken in connection with the same, as appropriate. [↑](#footnote-ref-4)
5. It is noted that assessment and/or market values may be reflected as a percentage, or on a ratio basis, of the total value of the property, and are not necessarily reflective of true market value. [↑](#footnote-ref-5)
6. It should be noted that investigative efforts include searches for affiliations with any corporations, partnerships, and/or fictitious or assumed business names. In this regard, a variety of sources were used in this portion of the investigation, including state and county corporation and other business records, nationwide business information sources, business reference directories, media publications and other appropriate sources. It should also be noted that various states do not provide public records information for limited liability companies, corporations and other business entities, and therefore it is possible that [Last Name] is associated with other businesses, but the association may not be disclosed in Secretary of State records or filings. [↑](#footnote-ref-6)
7. The subject’s *LinkedIn* profile can be located at <Investigator to insert hyperlink here>. [↑](#footnote-ref-7)
8. Searches included sanctions and/or legal actions of the following federal agencies: the Securities and Exchange Commission; the Financial Industry Regulatory Authority (formerly the National Association of Securities Dealers) and the New York Stock Exchange’s member regulation, enforcement and arbitration functions (prior to the consolidation of the two in July 2007); the Federal Deposit Insurance Corporation; Resolution Trust Corporation; Federal Reserve Board; National Credit Union Administrative Actions; Office of the Comptroller of the Currency; Department of Justice; Department of Housing and Urban Development; and other federal agencies (through the General Services Administration). [↑](#footnote-ref-8)
9. Searches included sanctions and/or legal actions of the following federal agencies: the Securities and Exchange Commission; the Financial Industry Regulatory Authority (formerly the National Association of Securities Dealers) and the New York Stock Exchange’s member regulation, enforcement and arbitration functions (prior to the consolidation of the two in July 2007); the Federal Deposit Insurance Corporation; Resolution Trust Corporation; Federal Reserve Board; National Credit Union Administrative Actions; Office of the Comptroller of the Currency; Department of Justice; Department of Housing and Urban Development; and other federal agencies (through the General Services Administration). [↑](#footnote-ref-9)
10. Searches included various sanctions and/or legal actions through the United States Department of Health & Human Services’ Office of Inspector General, the Fraud and Abuse Control Information System, the Drug Enforcement Agency, and the Food and Drug Administration. Further, searches included sanctions and/or legal actions of the following federal agencies: the Securities and Exchange Commission; the Financial Industry Regulatory Authority (formerly the National Association of Securities Dealers) and the New York Stock Exchange’s member regulation, enforcement and arbitration functions (prior to the consolidation of the two in July 2007); the Federal Deposit Insurance Corporation; the Resolution Trust Corporation; the Federal Reserve Board; the National Credit Union Administrative Actions; the Office of the Comptroller of the Currency; the Department of Justice; the Department of Housing and Urban Development; and other federal agencies (through the General Services Administration). Moreover, state-level agencies searches included mortgage and real estate regulators and certain records of Secretaries of State. These sources cover securities and other regulatory violations, disciplinary actions, company filings and similar records. [↑](#footnote-ref-10)
11. Footnote should include a list of all relevant United State Bankruptcy Court names combined together: Searches were pursued through the United States Bankruptcy Courts for the \_\_\_\_\_\_\_\_\_ District(s) of [State1], the \_\_\_\_\_\_\_\_\_\_ District(s) of [State2], the \_\_\_\_\_\_\_\_\_ District(s) of [State3] and the \_\_\_\_\_\_\_\_\_ District(s) of [State4]. (Example: Searches were pursued through the United States Bankruptcy Courts for the Middle, Northern and Southern Districts of Georgia, the Middle, Northern and Southern Districts of Florida, the District of Wyoming, the Eastern, Western, Northern and Southern Districts of Texas and the Western, Eastern, Northern and Southern Districts of New York.) [↑](#footnote-ref-11)
12. FN should include a list of all relevant United State Bankruptcy Court names combined together [↑](#footnote-ref-12)
13. FN should include a list of all relevant United State Bankruptcy Court names combined together [↑](#footnote-ref-13)
14. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-14)
15. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-15)
16. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-16)
17. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-17)
18. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-18)
19. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-19)
20. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-20)
21. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-21)
22. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-22)
23. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-23)
24. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-24)
25. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-25)
26. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-26)
27. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-27)
28. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-28)
29. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-29)
30. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-30)
31. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-31)
32. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-32)
33. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-33)
34. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-34)
35. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-35)
36. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-36)
37. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-37)
38. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-38)
39. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-39)
40. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-40)
41. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-41)
42. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-42)
43. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-43)
44. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-44)
45. Auto-populated standard USDC and Statewide language per State (or DC) [↑](#footnote-ref-45)
46. It should be emphasized that updates are made to these lists on a periodic and irregular basis, and for purposes of preparing this memorandum, these lists were searched on <investigator to insert date of research>. [↑](#footnote-ref-46)
47. It should be emphasized that updates are made to these lists on a periodic and irregular basis, and for purposes of preparing this memorandum, these lists were searched on <investigator to insert date of research>. [↑](#footnote-ref-47)