Date: June 10, 2020

STERLING DILIGENCE

BACKGROUND REPORT

## RE: FirstName MiddleInitial LastName

ClientName

*- PERSONAL AND CONFIDENTIAL -*

STERLING DILIGENCE BACKGROUND REPORT

FirstName MiddleInitial LastName

Position1

Employer1

City, Country

June 10, 2020

**SUMMARY RESULTS TABLE**

|  |  |  |  |
| --- | --- | --- | --- |
| **COMPONENTS INVESTIGATED** | **RESULTS** | | **COMMENTS** |
| Personal Identification Profile | PLRESULT | | PICOMMENT |
| Name & Address Verification & History | NAMERESULT | | NAMECOMMENT |
| Company Directorship & Other Records | COMPRESULT | | COMPCOMMENT |
| Education Verification | DEGREEHEADER | | DEGREEDESCRIPTION  NODEGREEDESCRIPTION |
| Regulatory Searches & Verification | REGRESULT | | REGCOMMENT |
| **Bankruptcy, Civil Litigation & Other Filings** | | | |
| Bankruptcy Filings in [Country] (as available) | BANKRUPRESULT | | BANKRUPCOMMENT |
| Civil Court Litigation Records in [Country] (as available) | CIVILRESULT | | CIVILCOMMENT |
| **Criminal Records** | | | |
| Criminal Records as available in [Country] | CRIMINALRESULT | | CRIMINALCOMMENT |
| **Press & Other Media Searches** | | | |
| News Media Searches – Print Publications and Internet Sources. Includes expanded search of investment publications, etc. | | NEWSRESULT | NEWSCOMMENT |
| **Global Security & Regulatory Searches** | | | |
| **Sanctions Bodies Searched:** | | | |
| Department of Foreign Affairs and Trade, Australia | | DEPTFORRESULT | DEPTFORCOMMENT |
| European Union Consolidated List of Persons, Groups, Equity | | EURUNRESULT | EURUNCOMMENT |
| HM Treasury Consolidated List of Financial Sanctions Targets (formerly Bank of England Sanctions) | | HMTRERESULT | HMTRECOMMENT |
| U.S. Bureau of Industry and Security List of Denied Persons, Entities List and Unverified List | | USBEURESULT | USBEUCOMMENT |
| U.S. Department of State Foreign Terrorist Organizations | | USBDEPRESULT | USBDEPCOMMENT |
| U.S. Directorate of Defense Trade Controls Debarred Parties Lists | | USBDIRRESULT | USBDIRCOMMENT |
| U.S. General Services Administration Lists of Parties Excluded from Federal Procurement and Non-Procurement Programs | | USGENRESULT | USGENCOMMENT |
| U.S. Office of Foreign Assets Control | | USOFFRESULT | USOFFCOMMENT |
| United Nations Consolidated Sanctions | | UNCONSORESULT | UNCONSOCOMMENT |
| World Bank List of Ineligible Firms and Individuals | | WORLDBANKRESULT | WORLDBANKCOMMENT |
| **Law Enforcement Bodies Searched:** | | | |
| Interpol | INTERPOLRESULT | | INTERPOLCOMMENT |
| U.S. Federal Bureau of Investigation | USFEDERALRESULT | | USFEDERALCOMMENT |
| U.S. Secret Service | USSECRETRESULT | | USSECRETCOMMENT |
| **Regulatory Enforcement Bodies Searched:** | | | |
| Commodity Futures Trading Commission | COMMODITYRESULT | | COMMODITYCOMMENT |
| Federal Deposit Insurance Commission | FDEPORESULT | | FDEPOCOMMENT |
| Federal Reserve Board | FRESRESULT | | FRESCOMMENT |
| Financial Crimes Enforcement Network | FCRIMERESULT | | FCRIMECOMMENT |
| Financial Industry Regulatory Authority | FININDRESULT | | FININDCOMMENT |
| International Consortium of Investigative Journalists, Offshore Leaks Database | INTCONRESULT | | INTCONCOMMENT |
| National Credit Union Administration | NATCRERESULT | | NATCRECOMMENT |
| New York Stock Exchange | NYRESULT | | NYCOMMENT |
| Office of the Comptroller of the Currency | OFFCPTRESULT | | OFFCPTCOMMENT |
| Office of the Superintendent of Financial Institutions, Canada | OFFSUPRESULT | | OFFSUPCOMMENT |
| Resolution Trust Corporation | RESTRESULT | | RESTCOMMENT |
| Securities and Exchange Commission | SECRESULT | | SECCOMMENT |
| U.S. Court of International Trade | USCOURESULT | | USCOURCOMMENT |
| U.S. Department of Justice | USDPJSRESULT | | USDPJSCOMMENT |
| U.S. Federal Trade Commission | USFEDRESULT | | USFEDCOMMENT |
| U.S. National Futures Association | USNFRESULT | | USNFCOMMENT |
| U.S. Office of Thrift Supervision | USOTRESULT | | USOTCOMMENT |
| **High Profile Persons Data Bodies Searched**: |  | |  |
| Central Intelligence Agency - Heads of State/Government | CIRESULT | | CICOMMENT |
| **END** | | |  |

**EXECUTIVE SUMMARY**

At the request of ClientName , Sterling Diligence undertook a background and due diligence investigation in Country in connection with FirstName MiddleInitial LastName , 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. EDUCATIONALANDLICENSINGHITS

HasLegalRecordsJudgmentsorLiensHits <Investigator to insert summarized findings >

HasRegulatoryorGlobalSecurityHits <Investigator to insert summarized findings >

HasHitsAboveAndCompanionReport <Investig ator to modify for multiple Companion Reports if applicable>

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

FirstName MiddleInitial LastName

Position1

Employer1

City , Country

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

June 10, 2020

*PERSONAL AND CONFIDENTIAL*

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

FirstName MiddleName LastName (hereafter referred to as “ LastName ” or “the subject”)[[4]](#footnote-4) is a Nationality national born in PlaceofBirth in DateofBirth, and maintains a residence at CurrentFullAddress . At the request of the Client, research efforts were conducted in this jurisdiction.

ADDITIONALCOUNTRIES

**II. BUSINESS AFFILIATIONS AND EMPLOYMENT HISTORY**[[5]](#footnote-5)

EMPLOYEEDESCRIPTION

BUSINESSAFFILIATIONSIDENTIFIED

INTELLECTUALPROPERTYIDENTIFIED

##### **III. EDUCATIONAL CREDENTIALS**

DEGREEDESCRIPTION

##### **REGULATORY, COMPLIANCE AND OTHER SEARCHES**

PLLICENSEDESCRIPTION

*US\_SECHEADER1*

REGISTEREDWITHUS\_SECDESCRIPTION1

REGISTEREDWITHUS\_SECBULLETS

REGISTEREDWITHUS\_SECBULLETS

REGISTEREDWITHUS\_SECBULLETS

REGISTEREDWITHUS\_SECDESCRIPTION2

*UK\_FCAHEADER1*

REGISTEREDWITHUK\_FCADESCRIPTION1

REGISTEREDWITHUK\_FCABULLETS

REGISTEREDWITHUK\_FCABULLETS

REGISTEREDWITHUK\_FCABULLETS

*FINRAHEADER1*

REGISTEREDWITHFINRADESCRIPTION1

REGISTEREDWITHFINRABULLETS

REGISTEREDWITHFINRABULLETS

REGISTEREDWITHFINRABULLETS

*US\_NFAHEADER1*

REGISTEREDWITHUS\_NFADESCRIPTION1

REGISTEREDWITHUS\_NFABULLETS

REGISTEREDWITHUS\_NFABULLETS

REGISTEREDWITHUS\_NFABULLETS

*OTHERLICENSEHEADER1*

OTHERLICENSEDESCRIPTION1 <investigator to remove any sources that came back with hits above>

*Other Financial and Securities Regulators*

COUNTRYSPECIFICREGHITDISCRIPTION

OTHERREGULATORYREDFLAGSDESCRIPTION1 <Investigator to insert results here>

###### V. COURT AND OTHER PUBLIC RECORDS SEARCHES[[6]](#footnote-6)

*Country*

COUNTRYLEGALRECORDHITDISCRIPTION

INSOLVENCYHITSDESCRIPTION

CIVILRECORDHITSDESCRIPTION

REGISTRYTRUSTHITDESCRIPTION

CRIMINALRECORDSRESULTDESC

PPRRECORDDESCRIPTION

MEDIABASEDLEGALDESCRIPTION

MEDIABASEDLEGALBULLETS

MEDIABASEDLEGALBULLETS

MEDIABASEDLEGALBULLETS

*Other Legal Records Searches*

USLEGALRECORDDESCRIPTION1

USLEGALRECORDBULLETS

USLEGALRECORDBULLETS

USLEGALRECORDBULLETS

USLEGALRECORDDESCRIPTION2

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

DRIVINGHISTORYDESCRIPTION

**VII. GLOBAL SECURITY**

GLOBALSECURITYHITSDESCRIPTION

ICIJHITSDESCRIPTION

### PERSONAL CREDIT HISTORY

CREDITHISTORYDESCRIPTION

**VIII. PRESS AND OTHER MEDIA RESEARCH**

PRESSANDMEDIASEARCHDESCRIPTION

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We hope this report satisfies your request for background and 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 [CaseNumber]. 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. [↑](#footnote-ref-1)
2. Given stringent data protection laws in Country, the information contained herein has been derived through open source research, including Country -based corporate registry records and other public reports.

   Further, 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, other identification information regarding the subject has been confirmed. [↑](#footnote-ref-3)
4. It is noted that the subject was identified in connection with the name variation " FullAliasName " and investigative efforts were undertaken in connection with the same, as appropriate. [↑](#footnote-ref-4)
5. Research efforts conducted through records maintained by the [Property Registry] revealed that <investigator to insert results here>. [↑](#footnote-ref-5)
6. It should be noted that information concerning insolvency records, civil litigation filings and criminal proceedings are restricted in Country, and to the extent references were identified through open source or manual court records research, the same have been included herein. [↑](#footnote-ref-6)