

CONFIDENTIAL

MEMORANDUM

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2016-03-01

TO: SarahElizabeth White

FR: Sarah White

CC: SarahElizabeth White [checklist.pdf](#)

RE: entity name 1: Results of Due-Diligence Review

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This memorandum summarizes the results of our review of entity name 1, pursuant to your request and at your direction to assist you in your due-diligence process. sdfgsdfg

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This review, commenced 2016-02-22, focused on finding any controversies naming entity name 1 but not his current or past employers or affiliations. It included verifying his education and employment history, as cited in the biographical materials provided to us; searching for criminal and civil litigation naming him as a party; searching for any actions taken against him by regulators or licensing authorities; reviewing his driving record and credit report with his signed consent; and reviewing news articles and social media for adverse information.

SCOPE OF SEARCHES

This is a Level I review that encompasses at least 10 years.

Our research focused on [County, State] and [County, State] — jurisdictions where the candidate currently lives and works. Depending on the jurisdiction, in addition to the searches described below, we reviewed a number of sources, such as driving records, property records, corporate records, UCC financing statements, regulatory filings, various Internet sources and proprietary databases.

#### HIGHLIGHTS

- We verified that **entity name 1** is currently a [position] of [Company] and lives at [Address] in [City, State]. **[Only report if you have verified this information.]**
- We verified **entity name 1**'s educational history and substantially verified his employment history.
- We found no criminal or civil litigation naming **entity name 1** as a party.
- We found no regulatory actions taken against him.
- We reviewed a copy of his Experian credit report, which cited no past-due accounts, collections matters, liens, judgments or bankruptcies.
- **entity name 1** has a valid [State] driver's license, and his driving record shows no infractions.
- We found no adverse press coverage of **entity name 1**.

#### FINDINGS

##### EMPLOYMENT VERIFICATION

We took steps to verify [Name]'s employment history, as cited in his candidate profile, through calls to past employers [as applicable] and searches of press reports, Securities and Exchange Commission (SEC) filings and other online sources, including an official employment verification database. The following is what we found:

Profile	Verification Efforts
Not cited	<p><b>Date – Date: Company</b></p> <ul style="list-style-type: none"> <li>• Title</li> </ul> <p><b>entity name 1</b> is currently listed as a [position] on [Company]'s website.</p>
<p><b>Date – Date: Company</b></p> <ul style="list-style-type: none"> <li>• Title</li> </ul>	<p>[Company] outsources its employment verifications to a third party, which confirmed that <b>entity name 1</b> was employed by [company] from ...<b>[use this language for all worknumber employment verifications]</b></p>

<b>Date – Date: Company</b> <ul style="list-style-type: none"> <li>• Date to Date: Title</li> <li>• Date to Date: Title</li> <li>• Date to Date: Title</li> </ul>	According to SEC filings....
<b>Date – Date: Company</b> <ul style="list-style-type: none"> <li>• Title</li> </ul>	According to press reports and other online sources...

#### Corporate Board Affiliations

We verified the following current and past corporate directorships for **entity name 1**, as disclosed to us

Profile	Verification Efforts
<b>Present: Company</b> <ul style="list-style-type: none"> <li>• Director</li> </ul>	According to SEC filings...
<b>Past: Company</b> <ul style="list-style-type: none"> <li>• Director</li> </ul>	According to a cached webpage...

#### Not-for-Profit Affiliations

We verified the following current and past non-profit board memberships for **entity name 1**, as disclosed to us:

Profile	Verification Efforts
<b>Present: Organization</b>	According to online biographies...

<ul style="list-style-type: none"> <li>Title</li> </ul>	
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#### EDUCATION CHECK

We took steps to verify the following post-secondary e

ducational history for **entity name 1**, as disclosed to us:

Profile	Verification Efforts
<b>University Name</b> <ul style="list-style-type: none"> <li>Year: Degree Title, Major</li> </ul>	[University] outsources its education verifications to a third party, which confirmed that...
<b>University Name</b> <ul style="list-style-type: none"> <li>Year: Degree Title, Major</li> </ul>	According to the University registrar...

#### PERSONAL LITIGATION

We found no record of any criminal cases (felonies or misdemeanors), civil lawsuits **[take this out if we found any civil lawsuits naming him, whether personal or professional]**, liens, judgments, bankruptcies or U.S. Tax Court cases naming **entity name 1** as a party. We searched multiple databases, which, when taken together, cover federal litigation nationwide—civil, criminal, and bankruptcies—and select state-level litigation.

Because his name is common, we focused on identifying litigation that 1) named individuals with the relevant middle initial; 2) was filed in jurisdictions where we know he has lived or worked; or 3) named him along with his known professional affiliations. We also used his address history and other personal information from databases to identify cases that might involve him and rule out others. We only include litigation that we could clearly attribute to the relevant **entity name 1**.

We included targeted searches in **[County, State]** and **[County, State]**, going back at least 10 years.

Additionally, we found no mention of **entity name 1**'s name in sex-offender registries, which we check routinely.

On his consent form, he checked “No” when asked if he has ever been convicted of a crime, which matches what we found [verify this].

#### PROFESSIONAL LITIGATION

We also searched for litigation naming entity name 1 in a professional capacity, as an executive of [list companies here], and found the following:

Date: Subheading

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#### REGULATORY ENFORCEMENT ACTIONS

We found no record of any securities-related or other regulatory enforcement actions taken against entity name 1 at the federal or state level. [As with our other searches, because he has a common name, we only include regulatory matters that we could clearly attribute to the relevant entity name 1.]

We searched for actions taken by the SEC, Financial Industry Regulatory Authority, National Futures Association, stock exchanges and state regulators.

We also searched for actions taken by the Department of Justice, Federal Trade Commission, Department of Labor, Equal Employment Opportunity Commission, [relevant regulatory agencies] and the attorney general of [State].

#### LICENSES

entity name 1's biographical materials cited no professional licenses or registrations, and we found none in our searches.

#### DRIVING RECORDS

We reviewed a copy of entity name 1's [State] driving record. His current driver's license was issued in [Date] and expires in [Date]. [Cite any violations].

#### CREDIT HISTORY

We reviewed a copy of entity name 1's Experian credit report with his signed consent. The report showed no past-due accounts, collections matters, liens, judgments or bankruptcies. entity name 1 has a credit score of X on a scale of 300 to 900, placing him in a “low” risk category, according to the report.

entity name 1 has a revolving balance of \$[Amount] on accounts with American Express ([Amount]), Chase ([Amount]) and Nordstrom ([Amount]), according to the report, and a real-estate mortgage with Wells

Fargo taken out in [Month Year] with a current balance of \$[Amount]. His total installment balance is \$[Amount].

There have been two inquiries into entity name 1 's credit status in the past two years, one of which was in the last six months, in [Date] by [Inquirer].

#### PRESS CHECK

We searched multiple online databases covering mainstream press, trade publications and papers local to where entity name 1 has lived and worked. We also searched online social media for publicly available information, including social networking sites, professional networking sites, blogs, chat rooms, photo and video sharing sites and wikis. [As with our other searches, because he has a common name, we only include media that we could clearly attribute to the relevant entity name 1 .]

We found no adverse references to him, and the following represent the most substantive coverage we found:

- Date: Subheading
- Date: Subheading