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## Investment Fund Manager Due Diligence Research Report Elements and Coverage

- Identity verification
- Address history
- Criminal and Civil Records County and Federal Court search
- FBI, Interpol, European Union Wanted Persons and U.S. extraditable warrant search
- Bankruptcy records search
- Search for judgments, liens, pending litigation, other adverse filings
- Listing of UCC filings found with Subject as debtor
- National search for fixed assets owned by Subject
- Secretary of State Officer and Director records (Subject's current resident state)
- Professional License(s) verification with history of sanctions/discipline found
- Search for regulatory issues and current investigations underway by SEC, FINRA, other authorities, State Securities/Financial regulators and law enforcement
- Verification of professional designations, certificates held; reference interviews as requested
- Global regulatory and fraud alert search; Asia, EU – Brokers Black Lists, other sources
- International Fraud Alerts and Lookouts on Subject and affiliated company/firm
- U.S. Treasury Office of Foreign Asset Control Blocked Persons and Businesses
- Alert Database(s) including; Bank of England, Australian Reserve Bank, OSFI Canada
- Listing of past business affiliations found; Owner, Director, Officer; U.S. national coverage
- Deep media search for articles on Subject; International scope
- Social media profiles

\*County and Federal Court records review include all U.S. jurisdictions of Subjects past residence

\*International research coverage per Subject available, quoted upon request

**Flat Fee: \$1,750.00 for Each U.S. Resident Researched**

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## Due Diligence Research Report on the Investment Firm

- Secretary of State corporate records
- Statements and Records of fictitious names found
- Dunn and Bradstreet Business Report
- Experion Business Report
- County of Registered Company Civil Court records search
- Bankruptcy records search
- Local and Federal jurisdiction search for judgments, liens, pending litigation
- Firm held Professional License(s) verification including any adverse filings, regulatory action
- Search for regulatory issues and current investigations regarding SEC, FINRA and State Securities/Financial regulators, local and federal law enforcement
- UCC Debtor Search – U.S. national coverage
- Search for any jurisdictions where firm is registered as a Foreign Business Entity
- Federal Excluded and Sanctioned Businesses Multiple database search
- Deep media search for articles on firm – International scope

**Flat Fee: \$1,250.00 for Each U.S. Investment Firm Researched**

\*Additional research subject matter areas of special interest per individual or firm available, quoted upon request