

Investigative Background Due Diligence

*Conducting Your Due Diligence is an
Essential Function of Risk Mitigation*

MARCUM
ACCOUNTANTS ▲ ADVISORS

marcumllp.com

Investigative Background & Due Diligence Scope of Work

Conducting Your Due Diligence is an Essential Function of Risk Mitigation

Investigative due diligence has evolved into a vital intelligence discipline that is both distinct from and uniquely complementary to traditional legal and financial due diligence inquiries. It is an indispensable tool to gain and maintain a competitive advantage.

In-depth background investigations about individuals within and behind an entity provide a complete history of operations and activities and an understanding of potential liabilities. Mergers and acquisitions (M&A) is a common reason to request an investigative due diligence investigation, to ensure there are no hidden problems. If you are hiring C-suite employees, adding board members, or shareholders, or engaged in an M&A transaction, it is imperative that the proper investigative due diligence be conducted to identify possible risks, liabilities and any past criminal activity.

Marcum's investigative due diligence team of professionals can conduct a comprehensive background check covering all of the areas listed below for an individual or an entity.

INDIVIDUAL BACKGROUND REPORT

- 1. Comprehensive Personal Report (SSN trace)**
- 2. Financial Information & Assets**
- 3. Experian Personal Credit History (With Release)**
- 4. Education Verification (With Release)**
- 5. Professional License Verification**
- 6. Patents, Copyrights and Trademarks**

- 7. Employment Verification**
- 8. Political Contributions**
- 9. Print Media and Social Network Coverage**
- 10. Other Corporations/Business History**
- 11. County-Level Civil Litigation (10 Years, All Jurisdictions)**
- 12. County-Level Criminal Litigation (10 Years, All Jurisdictions)**
- 13. Federal-Level Civil Litigation (10 Years, All Federal District Courts)**
- 14. Federal-Level Criminal Litigation (10 Years, All Federal District Courts)**
- 15. Bankruptcy Search**
- 16. Sex Offender Registry (National, State and County)**
- 17. Government Claims, Judgments and Tax Liens**
- 18. Uniform Commercial Code (UCC) Search**
- 19. Regulatory & Watchlist Review - Financial, Securities and Other Regulatory Agencies**
 - Securities & Exchange Commission (SEC)
 - Financial Industry Regulatory Authority (FINRA)
 - Commodity Futures Trading Commission (CFTC)
 - National Futures Association (NFA)
 - American Stock Exchange (AMEX)

- New York Stock Exchange (NYSE)
- Federal Deposit Insurance Corporation (FDIC)
- FBI Most Wanted Lists
- Office of the Comptroller of the Currency
- Federal Trade Commission (FTC)
- Department of Housing & Urban Development (HUD)
- System for Award Management (SAM)

20. Regulatory & Watchlist Review - International Watchlist & Sanctions Records

- U.S. Department of Treasury, Office of Foreign Assets Control (OFAC) – Specially Designated Nationals (SDN)
- U.S. Department of Commerce, Bureau of Industry and Security (BIS) –Denied Persons List
- U.S. Department of State, Rewards for Justice, Most Wanted International Terrorists
- U.S. Department of State, Terrorist Exclusion List
- Defense Trade Controls Debarred Parties
- United Nations Consolidated Terrorists List
- World Bank Debarred Firms & Individuals
- Interpol Most Wanted List
- U.K Her Majesty’s Treasury’s Consolidated List of Financial Sanctions Targets
- Canada Office of the Superintendent of Financial Institutions (OSFI) Consolidated Sanctions List
- European Union Designated Terrorists
- List of Excluded Individuals/Entities (LEIE)
- Politically Exposed Persons (PEP)
- U.S. Department of Justice, Foreign Agent Registrations

- U.S. Department of Justice, Foreign Corrupt Practices Act (FCPA) – Enforcement Actions

ENTITY BACKGROUND REPORT

1. Comprehensive Business Report

2. Dun & Bradstreet Business Report

3. Print Media and Social Network Coverage

4. County-Level Civil Litigation

5. Federal-Level Civil Litigation

6. Bankruptcy Search

7. Government Claims and Tax Liens

8. Uniform Commercial Code (UCC) Search

9. Regulatory & Watchlist Review - Financial, Securities and Other Regulatory Agencies:

- Securities & Exchange Commission (SEC)
- Financial Industry Regulatory Authority (FINRA)
- Commodity Futures Trading Commission (CFTC)
- National Futures Association (NFA)
- American Stock Exchange (AMEX)
- New York Stock Exchange (NYSE)
- Federal Deposit Insurance Corporation (FDIC)
- Office of the Comptroller of the Currency
- Federal Trade Commission (FTC)
- Department of Housing & Urban Development (HUD)
- System for Award Management (SAM)

10. Regulatory & Watchlist Review - International Watchlist & Sanctions Records

- U.S. Department of Treasury, Office of Foreign Assets Control (OFAC) – Specially Designated Nationals (SDN)
- U.S. Department of Commerce, Bureau of Industry and Security (BIS) –Denied Persons List
- U.S. Department of State, Terrorist Exclusion List
- Defense Trade Controls Debarred Parties
- United Nations Consolidated Terrorists List
- World Bank Debarred Firms & Individuals
- U.K Her Majesty's Treasury's Consolidated List of Financial Sanctions Targets
- European Union Designated Terrorists
- List of Excluded Individuals/Entities (LEIE)
- U.S. Department of Justice, Foreign Corrupt Practices Act (FCPA) – Enforcement Actions



MARCUMGROUP

Marcum Group is a family of organizations providing a comprehensive range of professional services including accounting and advisory, technology solutions, wealth management, and executive and professional recruiting.

These organizations include:

■ _____
Marcum LLP
www.marcumllp.com

■ _____
Marcum Bernstein & Pinchuk
www.marcumbp.com

■ _____
Marcum Insurance Services
www.marcumis.com

■ _____
Marcum RBK Ireland
www.marcumrbk.com

■ _____
Marcum Search
www.marcumsearch.com

■ _____
Marcum Strategic Marketing
marketing.marcumllp.com

■ _____
Marcum Technology
www.marcumtechnology.com

■ _____
Marcum Wealth
www.marcumwealth.com

MARCUM
ACCOUNTANTS ▲ ADVISORS

This communication has been prepared for informational purposes only. It is intended to inform the reader about the subject matter addressed and our Firm's capabilities in this area. This not to be used or interpreted as tax or professional advice. Those seeking such advice should contact a member of our firm to establish a client relationship.

While it is believed all information contained herein is accurate at the date of printing or dissemination, no warranty, express or implied, is given.