



**Employee Background**

\_\_\_\_\_ conducts background and reference checks on all key officers and directors of its investment candidates. All information you submit is contained behind secured networks and is only accessible by a limited number of employees who have specific access rights to such systems. The computer that stores these records is kept on site in a secure environment, behind locked doors. In the even that \_\_\_\_\_ terminates the transaction being contemplated, your file is destroyed. None of your personal information is shared with any third parties.

**INSTRUCTIONS:** This form should be opened and completed in MS-Word. Upon completion please email the file to admin@advancedvetting.com. If you choose to password protect the file please fax the password to passwords@advancedvetting.com. You must fax the signature page to 08700341201. We can not conduct the background or reference checks until we receive the signature page.

HANDWRITTEN, FAXED OR SCANNED COPIES WILL NOT BE ACCEPTED.

LEAVE NO ITEMS BLANK ALL INFORMATION IS REQUIRED. YOU MUST ANSWER "YES" or "NO" or indicate "NONE" wherever required.

**NOTICE:** FAILURE TO PROVIDE MATERIAL BACKGROUND INFORMATION AS REQUIRED BY THIS FORM OR THE WILLFUL OR FRAUDULENT SUBMITTAL OF A FALSE STATEMENT IN RESPONSE TO ANY SECTION MAY RESULT IN THE TERMINATION OF ANY TRANSACTIONS BEING CONTEMPLATED IN ASSOCIATION WITH THE DUE DILIGENCE EFFORTS BEING CONDUCTED HEREIN.

**SECTION 1 - Identification Information**

- First Name:
- Middle Name (s):
- Last Name:
- Previous Name (Complete Name):
- Primary Telephone #:
- Alternate Telephone #:
- Email Address:
- National Insurance Number:
- Are you a U.K citizen?
- Visa or Work Permit Status:
- Driver's License (Number):
- Previous Driver's License (if held current license less than five years):

- Date of Birth:
- Place of Birth (City and County Or Country):
- Marital Status: Single, Married, or Divorced?

**SECTION 2 - Residential Addresses and Other Addresses**

Beginning with your current residential address, list in reverse chronological order each residential address (U.K. and International), showing the name to who the property is title and indicating the dates you resided at each address. Leave no cells blank, if you do not remember, write "DNR". Provide as much information as possible.

	Address (#, street, city, county, post code):		Fr. (MM/YY):	To (MM/YY):
1				
2				
3				
4				
5				
6				
7				
8				
9				

10				
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In a separate list, show in reverse chronological order any other addresses (vacation homes, investment properties, or second or shared homes) indicating the dates you owned or had an interest in these properties. Leave no cells blank, if you do not remember, write "DNR".

	Address (#, street, city, county, post code):	Fr. (MM/YY):	To (MM/YY):
1			
2			
3			

List any other countries where you have resided or worked on a full-time basis for over six weeks:

	Additional Countries	Duration of Stay
1		
2		
3		

**SECTION 3 - Mailing Addresses**

Beginning with your current mailing address, list in reverse chronological order each mailing address that differs from your residential address history provided in Section 2. Indicate the dates you received mail at each address. Leave no cells blank, if you do not remember, write "DNR".

	Mailing Address (#, street (or box #), city, state, zip code):	Fr. (MM/YY):	To (MM/YY):
1			
2			
3			
4			
5			

**SECTION 4 - Employment, Business and Investment History with References**

Beginning with your current employer, business, or investment entity, show in reverse chronological order all your past employer/entities, including all entities which you are/were a director, a primary or majority shareholder or founder of, ventures or projects which you advised, directed, or had any other non-employee relationship. **Leave no items blank.**

<ol style="list-style-type: none"> <li>1. from __ (MM/YY) to __ (MM/YY)</li> <li>2. Business Name:</li> <li>3. Corporate Name (if different):</li> <li>4. Other names under which does business:</li> <li>5. Is the Company still in business? If not, please explain.</li> <li>6. Headquarters Address:</li> <li>7. Website Address:</li> <li>8. Address where you worked:</li> <li>9. Main Phone:</li> <li>10. Other Phone:</li> <li>11. Your title and all positions held:</li> <li>12. Your ownership %: (if any)</li> <li>13. Your salary plus bonus:</li> <li>14. Describe your responsibilities, ownership and the reason you left the firm.</li> <li>15. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work? <span style="float: right;">What was their relation to you?</span></li> </ol>
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1. from \_\_ (MM/YY) to \_\_ (MM/YY)
2. Business Name:
3. Corporate Name (if different):
4. Other names under which does business:
  
5. Is the Company still in business? If not, please explain.
6. Headquarters Address:
7. Website Address:
8. Address where you worked:
11. Main Phone:
12. Other Phone:
13. Your title and all positions held:
14. Your ownership %: (If Any)
15. Your salary plus bonus:
15. Describe your responsibilities, ownership and the reason you left the firm.
16. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work? What was their relation to you?

1. from \_\_ (MM/YY) to \_\_ (MM/YY)
2. Business Name:
3. Corporate Name (if different):
4. Other names under which does business:
5. State of Incorporation:
6. Is the Company still in business? If not, please explain.
7. Headquarters Address:
8. Website Address:
9. Address where you worked:
10. Main Phone:
11. Other Phone:
12. Your title and all positions held:
13. Your ownership %: (if any)
14. Your salary plus bonus:
15. Describe your responsibilities, ownership and the reason you left the firm.
16. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work? What was their relation to you?

1. from \_\_ (MM/YY) to \_\_ (MM/YY)
2. Business Name:
3. Corporate Name (if different):
4. Other names under which does business:
5. Is the Company still in business? If not, please explain.
6. Headquarters Address:
7. Website Address:
8. Address where you worked:
9. Main Phone:
10. Other Phone:
11. Your title and all positions held:
12. Your ownership %: (if any)
13. Your salary plus bonus:
14. Describe your responsibilities, ownership and the reason you left the firm.

15. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work? What was their relation to you?

1. from \_\_ (MM/YY) to \_\_ (MM/YY)

2. Business Name:

3. Corporate Name (if different):

4. Other names under which does business:

5. Is the Company still in business? If not, please explain.

6. Headquarters Address:

7. Website Address:

8. Address where you worked:

9. Main Phone:

10. Other Phone:

11. Your title and all positions held:

12. Your ownership %: (if any)

13. Your salary plus bonus:

14. Describe your responsibilities, ownership and the reason you left the firm.

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1. from \_\_ (MM/YY) to \_\_ (MM/YY)

2. Business Name:

3. Corporate Name (if different):

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5. Is the Company still in business? If not, please explain.

6. Headquarters Address:

7. Website Address:

8. Address where you worked:

9. Main Phone:

10. Other Phone:

11. Your title and all positions held:

12. Your ownership %: (if any)

13. Your salary plus bonus:

14. Describe your responsibilities, ownership and the reason you left the firm.

15. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work?

What was their relation to you?

1. from \_\_ (MM/YY) to \_\_ (MM/YY)

2. Business Name:

3. Corporate Name (if different):

4. Other names under which does business:

5. Is the Company still in business? If not, please explain.

6. Headquarters Address:

7. Website Address:

8. Address where you worked:

9. Main Phone:

10. Other Phone:

11. Your title and all positions held:

12. Your ownership %:(if any)

13. Your salary plus bonus:

14. Describe your responsibilities, ownership and the reason you left the firm.

15. Provide two references from this employer/entity including name, title, current position and place of employment, phone number and alternate phone number. In what capacity did these people work?  
What was their relation to you?

**Section 5 - Licenses, Affiliations and Certifications**

In reverse chronological order, list any and all licenses (including securities licenses), affiliations, or professional certifications as well as any trade, civic and nonprofit organizations with which you have had any association, past or present. Indicate the period of your activity and your title, role, or service capacity. Also list any special certifications you have received. Please provide a phone number if at all possible. Also provide a copy of the affiliation or certification if possible by fax to \_\_\_\_\_.

License/Cert./Title	Name of Organisation./Board	Complete Address:	Phone:	Dates:

**Section 6 - Education**

List the complete name of each institution and school you attended from secondary and university level, to college level institutions. Indicate the period you attended and the degree awarded if any. In addition, provide the address of each institution and, if possible, a telephone number. If your degree was earned outside of the U.K. please provide a copy of the diploma or transcript to document your degree by fax to 0870 034 1201. **If a degree or qualification was not awarded, indicate "Not Awarded".**

Degree Awarded	Name of School	Address:	Phone:	Student ID #	Dates:

**Section 7 - Litigation, Censure, Sanctions**

Provide complete detail of any litigation, civil or criminal; past, present, or pending; settled or unsettled; resolved or unresolved in any jurisdiction indicating the status of such cases, any censure or sanctions you have received or license revocation from any professional group or licensing authority. Indicate all relevant details including names of all parties, lawyers for both sides, time of action, court, case number, jurisdiction, and reason for such action. Please make sure to include any personal or business legal proceedings or bankruptcy proceedings in which you have been or may have been named. **IF NONE, YOU MUST WRITE "NONE".**

**Section 8 - Personal Criminal History**

Have you ever been charged or convicted of any crime in any jurisdiction If so, indicate all relevant details including names of all legal representatives, time of action, court, case number, jurisdiction, and reason for such action. **IF NONE, YOU MUST WRITE "NONE".**

**Section 9 - Indictments and Outstanding Warrants**

To your knowledge are you or any other executive, director or general partner of your current employer/entity the subject of any , warrant, arrest, questioning, hearing or judgment including civil arrest warrants in any jurisdiction? If so, indicate all relevant details including court, judge, barrister, agency, offense, jurisdiction, time of action, reason for such action and any other relevant details. **IF NONE, YOU MUST WRITE "NONE".**

**Section 10 - Personal Unsatisfied Judgments and Liens**

Are you, your personal property, personal corporation, trust or foundation now in default on any obligation to, or subject to any unsatisfied judgment obtained by any party, public or private, national or local taxing authority in any jurisdiction? If so, explain, listing all unsatisfied judgments or liens. IF NONE, YOU MUST WRITE "NONE".

**PLEASE TAKE TIME TO REVIEW YOUR ANSWERS MAKING SURE YOU COMPLETED EACH SECTION AND CHECKING TO MAKE SURE YOUR REFERENCE CONTACT INFORMATION IS STILL VALID.**

PLEASE EMAIL THIS COMPLETED FORM TO [admin@advancedvetting.com](mailto:admin@advancedvetting.com)

**Section 11 - Certification and Authorization to Conduct Background Check**

I, \_\_\_\_\_, state that I have read and understand all the items contained in the foregoing pages of this questionnaire; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify Advanced vetting and \_\_\_\_\_ in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of any contract with them ; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that \_\_\_\_\_ will rely on the information supplied in this questionnaire as additional inducement when considering entering into a contract with the submitting individual or business entity. Furthermore, I understand and authorize \_\_\_\_\_ and Advanced vetting to conduct a background investigation including but not limited to a criminal background check in any jurisdiction, civil case history, residence, credit reports, employment and degree verification, as well as to seek and contact any references, including but not limited to references provided therein.

\_\_\_\_\_  
Name of submitting business

by

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**PLEASE COMPLETE AND FAX A SIGNED COPY OF THIS PAGE TO**

**0870 034 1201**