



The Nexis Diligence™ Content Advantage

Due diligence means more than a risk score or a quick check for sanctions or politically-exposed persons.

It's about establishing trusted relationships and making the right strategic decisions that make good profit possible.

For conducting higher-risk enhanced due diligence checks, most providers only offer limited information, focusing solely on public records, or sanctions and politically exposed persons (PEPs). Some also offer a narrow set of negative news, leaving you wondering what adverse search results may have been missed.

Nexis Diligence™ creates a new standard in conducting due diligence, allowing you to develop a 360-degree assessment. Tapping into our immense content collection—all in one place—enabling users to map complex relationships between companies and individuals or other entities around the world.

Nexis Diligence allows you to conduct comprehensive checks of people and companies in one interface—no need to purchase separate tools to cover different aspects of enhanced due diligence.

Why spend time toggling between different providers? Get a complete picture with one resource. Nexis Diligence covers everything you need to leave no stone unturned when conducting the enhanced due diligence that helps maximize opportunities and minimize risk.

Nexis Diligence encompasses thousands of sources.

Keep exploring to read highlights on key categories of information, what's covered and why it matters to your due diligence process.

News & Web Media

WHAT'S COVERED

Over 40,000 global print, broadcast and web news media sources, including newspapers, newswires, press releases, magazines, trade publications, broadcast transcripts and more.

Examples of native language include coverage in:

- | | | |
|-----------|-------------|-----------------------------|
| • Arabic | • French | • Portuguese (incl. Brazil) |
| • Catalan | • German | • Russian |
| • Chinese | • Italian | • Spanish |
| • Danish | • Japanese | • Swedish |
| • Dutch | • Malay | • Turkish |
| • English | • Norwegian | |
| • Finnish | • Polish | |

Negative News

WHY IT MATTERS

Regulators recommend the inclusion of adverse news searches as part of a complete due diligence program. LexisNexis® offers global, comprehensive news coverage—with substantial archival data so users can identify whether there's an ongoing pattern of negative activity to be considered.

Negative News—available in English and non-English languages—pinpoints adverse news on a person or company by looking for the entity name in association with derogatory words like embezzle, fraud, indict, bankrupt, launder, etc. Admin settings enable you to control whether this “association” is loose, tight or somewhere in-between, allowing you to tailor the solution to align with your organization's policy approach to due diligence.

You can leverage our Negative News queries as is, or tailor them to meet your organization's unique needs. With one click you can even lockdown and share your customized settings with all users in your team, so that process consistency and adherence to your due diligence protocols are ensured.

And, unlike competitor solutions that leave users guessing as to an article was flagged as negative, Nexis Diligence highlights the exact words that triggered the hit, allowing you to save time by identifying red flags immediately.

Lastly, note that LexisNexis licenses its sources directly from the publishers. This means you get premium coverage from sources not offered on the open Web.

General News

WHY IT MATTERS

The “News” search—as opposed to “Negative News”—covers all angles—the good, the bad and the ugly—not just negative information. Most competing services that offer Negative News do not offer this broader News option.

General news can be advantageous when you need to search for small businesses, private companies or entities in remote parts of the world where little information is available. In such cases, Negative News may be too limiting, yielding no results. By expanding to all News, you can expand your view of what's out there, helping you learn more about an entity and help provide evidence that it is a bona fide concern.

In addition, because due diligence is about understanding one's business associates, not just about finding red flags, the News search can provide pertinent background information about a company's management, their business dealings, strategy, organizational structure, ownership and more.

Company Reports

WHAT'S COVERED

Company Reports, cover more than 400 databases and over 200 million global public and private companies in developed and emerging markets. In addition to profiles of companies and the executives that run them, Nexis Diligence captures annual reports, SEC and other filings, bankruptcy reports, merger and acquisition transactions and earnings information. Examples of data providers include:

- Best's Company Reports
- Bundesanzeiger Verlag
- Cofsem
- Creditreform®
- Dun & Bradstreet®
- Experian® Information Solutions
- FBR Asian Company Profiles
- Gale Group®
- GlobalData Ltd.
- Handshakes Capital Markets Data
- Hoover's, Inc.
- IHS Shipping Data
- Infocredit Group Business Information Reports
- Integra Industry Reports
- LexisNexis® Corporate Affiliations™
- London Stock Exchange
- MERGERSTAT® M&A Database
- Prospects of Wealth
- SGA Executive Tracker
- Taiwan Economic Journal Co.
- Vickers Securities Report
- WealthEngine
- Worldbox AG
- Worldscope International Company Profiles
- Zack's Equity Research

WHY IT MATTERS

Nexis Diligence competitors, if they cover company profile information at all, generally offer only a limited slice, such as corporate hierarchies. Typically, this information is coming from a single data publisher.

Nexis Diligence covers corporate hierarchies and parent/subsidiary structures, too, but extends the reach to also include:

- Ownership, including woman- or minority-owned status
- Management structure, including board of directors
- Lines of business
- Worldwide locations
- Corporate strategy
- Corporate history, including company name changes
- Executive changes
- Financial results and ratios, earnings reports, stock repurchases
- Major products and services
- Competitors
- SWOT analysis
- Mergers & Acquisitions activity

While the corporate hierarchies are important pieces of data, so are the additional types of information mentioned previously.

- Global locations can indicate that a company has operations in high-risk parts of the world, such as in countries perceived to have greater exposure to bribery and corruption risks, which requires enhanced due diligence.
- Business associations can help identify potential conflicts of interest for your organization.
- Identifying the key officers of a company enables you to perform individual background checks before moving forward with a deal.

Also important is the wide range of providers that supply Nexis Diligence with corporate data. Any individual information provider will only cover the set of companies that fits within its defined collection criteria, such as companies of a certain size, from a certain geography or part of a particular industry.

If you rely on just one data source—as many Nexis Diligence competitors do—and that provider doesn't cover the company you're looking for, or their information is outdated, you're out of luck. By covering many information providers, including those that specialize in particular locales, company types and specialized markets, Nexis Diligence helps ensure that you uncover available information, even on small private companies in emerging markets.

Nexis Diligence offers the flexibility to search multiple entities at once or entities in conjunction with an individual's name, helping to clarify wider corporate connections.

Sanctions & Watch Lists

WHAT'S COVERED

Sanctions & Watch Lists cover information compiled from multiple authorities and include domestic and global sanctions, from over 1,400 watch lists originating from more than 80 countries and translated from multiple languages, covering:

- White collar crimes
- Crimes against humanity
- Terrorist threats
- Non-financial sanctions
- Payment patterns and insolvencies
- Unauthorized business activities
- Warning lists by financial authorities
- Disqualified directors and debarred companies
- Minor penal procedures and/or civil procedures
- International warrants, national wanted persons, regional warnings, detention records and civil records
- Lists of international tribunals, anti-money laundering and anti-corruption entities
- Special lists (e.g., persons associated with the Mafia, companies using slave labor, etc.)

Examples of lists include:

- OFAC—Specially Designated Nationals (SDN) List; Non-SDN List, including Palestinian Legislative Council; Enhanced Sanctioned Countries List
- Her Majesty's Treasury Consolidated List
- Commodity Futures Trading Commission List of Regulatory and Self-Regulatory Authorities

- Department of State, Directorate of Defense Trade Controls, Consolidated List of Debarred Parties
- European Union Designated Terrorists Consolidated List
- FBI—Hijack Suspects List; Most-Wanted List; Most-Wanted Terrorists List; Seeking Information List
- Financial Industry Regulatory Authority (FINRA) Actions File
- International Police Most Wanted and Red Alerts
- Office of Controller of Currency—Unauthorized Banks List
- State Department Terrorist Exclusion List
- United Nations Consolidated List
- U.S. Bureau of Industry and Security—Denied Persons List; Unverified List; Entity List
- World Bank Ineligible Firms List

WHY IT MATTERS

Your organization can suffer reputational damage and/or be subject to monetary penalties, government sanctions, civil suits and enforcement actions by various regulators if found to be working with individuals or entities that appear on sanctions lists; watch lists or blacklists; or lists of excluded, disqualified or debarred persons or organizations.

This content is considered to be a crucial component of any due diligence process and a legal obligation for some, i.e., those impacted by Dodd-Frank, the Foreign Corrupt Practices Act, the UK Bribery Act and assorted financial regulations.

Politically Exposed Persons (PEPs)

WHAT'S COVERED

Nexis Diligence global PEP lists include 1.4 million profiles of PEPs, as well as those of their family members and close associates.

WHY IT MATTERS

A Politically Exposed Person (PEP) is someone who serves or has served in a prominent public function, or an individual who is closely tied to such a person. By virtue of their position and the influence that they may hold, a PEP presents a higher risk for potential involvement in corrupt activity, including bribery.

Countries around the world are tightening their anti-bribery laws in an effort to combat corruption. Regulators require a higher degree of due diligence when conducting business with PEPs; failure to perform adequate due diligence can expose your organization to reputational damage, multi-million-dollar fines and substantial legal costs.

Biographical Sources

WHAT'S COVERED

Biographical sources can reveal key facts about an individual, including:

- Personal information like date/place of birth, relatives and marital history
- Career history, such as employment background, board memberships and executive compensation
- Educational background and credentials
- Activities, including participation in civic or philanthropic organizations
- Recognition and awards

Nexis Diligence draws upon hundreds of sources such as:

- Gale Biographies
- SGA Executive Tracker
- Professional Contacts
- The Complete Marquis Who's Who® Biographies
- The Official Board Biographies

WHY IT MATTERS

It is recommended that whenever performing due diligence on a company, the top officers should also be checked. The credibility, experience and personal history of key managers have a big influence on the risks involved in doing business.

When performing due diligence on a person, it is important to understand their background. Biographical details can help you understand a person's qualifications for their position, i.e., are they experienced enough to successfully function in their role.

Educational history enables credential verification and can potentially expose falsified information presented by the individual on their resume or transaction documents.

Career history can help verify or contradict facts presented by the individual and can reveal if additional due diligence is required as part of your current research.

Additional due diligence on the former entity, and your contact's involvement with it, could highlight risks that threaten your current transaction.

Even personal memberships to organizations can expose potential risks. For instance, it could be a conflict of interest to award business to a supplier whose president is a fellow member of a civic group to which your own management belongs.

Legal Sources

Cases & Dockets

WHAT'S COVERED

Of the quality information for which LexisNexis is known, legal sources are often considered our specialty. Most competitors in the due diligence space, if they include legal information at all, do not cover courts outside the United States, which is vital as the need to perform global research becomes commonplace.

Cases on the LexisNexis services include decided court cases—civil and criminal—from state, federal and international courts, covering the United States, Canada, England, Wales, Ireland, Northern Ireland, Scotland, European Union, Malaysia, Brunei, Hong Kong, Australia, New Zealand and South Africa.

In addition, cases from the International Court of Justice, the principal judicial organization of the United Nations, are included. This Court's role is to settle legal disputes submitted to it by member States covering multiple countries.

Dockets provide additional coverage of federal and state courts of the United States, including pending matters.

WHY IT MATTERS

An understanding of an entity's litigation history can help predict the likelihood of future legal entanglements, which could be costly in terms of legal fees, settlements and punitive damages.

Litigation search results can also be used to gain a general impression of the target's business practices. If the company is a mature business that has not been involved in any significant litigation, generally there is a positive impression of how the target runs its business.

By contrast, a significant amount of litigation or litigation that involves claims of fraud, corruption or human rights violations should raise concerns about a company's business practices and encourage some additional due diligence.

Agency Decisions

WHAT'S COVERED

U.S. Federal & State Agency Decisions combine decisions, opinions, orders, enforcement actions, no-action/interpretive/ exemptive letters, decrees, judgments and rulings from various government agencies.

Sample of federal agencies covered:

- Army Corps of Engineers
- Commodity Futures Trading Commission
- Consumer Product Safety Commission
- Department of Agriculture
- Department of Energy
- Department of Justice
- Department of Labor
- Department of Transportation
- Departments of Interior and Commerce
- Environmental Protection Agency
- Equal Employment Opportunity Commission
- Federal Deposit Insurance Corporation
- Federal Aviation Administration Decisions
- Federal Energy Regulatory Commission
- Federal Reserve
- Federal Trade Commission Decisions

- General Services Administration
- Health & Human Services
- Housing & Urban Development
- International Trade Commission
- Internal Revenue Service
- Office of Government Ethics
- Office of the Comptroller of the Currency
- Securities and Exchange Commission
- Small Business Administration
- Social Security Administration
- Nuclear Regulatory Commission
- U.S. Customs & Border Protection
- U.S. Attorney General

Sample of state agencies covered:

- U.S. Comptroller General
- State Attorney General Opinions
- State Tax Agency Decisions
- State Securities Agency Decisions
- State Environmental Agency Decisions
- State Workers' Compensation Board Decisions
- State Public Utilities Commission Decisions
- Decisions from Other Miscellaneous State Administrative Agencies

WHY IT MATTERS

Agency decisions arise from proceedings by an agency to enforce its statutes and regulations. An agency's decisions are reported much as case law is reported from a court.

Like court cases, agency decisions can be very costly and disruptive to an organization. Also, like court cases, certain types of agency decisions can be telling about the nature of a company's operations, including unethical business practices involving bribery, forced labor, human trafficking, use of conflict minerals, toxic dumping and other corrupt practices.

A company that has violated an agency's regulations can be subject to civil and/or criminal enforcement actions, disgorgement, fines, penalties and sanctions.

For example, the Securities and Exchange Commission may file an enforcement action, including multi-million-dollar criminal fines against a company for violations of the anti-bribery provisions of the U.S. Foreign Corrupt Practices Act (FCPA).

Because of the seriousness of the issues that can surface from agency decisions and the impact of enforcement actions on violators, it is imperative that any due diligence investigation include a search of this content to minimize the risk to your own organization by association.

Beyond issues of wrongdoing, you can learn more about your potential business associates by examining letters they've submitted to an agency; for instance, seeking the agency's interpretation of how the company should operate in order to comply with a regulation.

Verdicts

WHAT'S COVERED

Jury Verdicts & Settlements provide access to selected online verdict and settlement information for civil cases across the United States. Case information covered includes verdict and settlement amounts, expert witnesses, case summaries and counsel data.

WHY IT MATTERS

This information can be useful in helping:

- Determine a pattern of litigation against a particular defendant.
- Determine source of funds and/or net worth of an individual.
- Determine the outcome of unpublished cases.

Law Reviews

WHAT'S COVERED

Nearly 1,000 law reviews, bar journals, ABA journals, legal newspapers, legal newsletters and specialty legal publications.

WHY IT MATTERS

Law reviews can help explain cases in plain English, so that you can better understand the facts in dispute. Also, law reviews may discuss cases in regions of the world, thus expanding your awareness of a company or person's litigation environment.

U.S. Public Records*

SmartLinx™ Comprehensive Reports

WHAT'S COVERED

** Access to U.S. Public Records content is subject to credentialing.*

SmartLinx™ Comprehensive Reports offer an investigative tool that helps establish connections among people, locations and businesses.

A single search combs through 82 billion public records from more than 10,000 sources, helping find names, addresses, phone numbers and other information that links people, locations and businesses.

Results are cross-referenced, enabling you to identify connections between two people, a person and a company or two companies.

Sophisticated proprietary technology searches for nicknames, similar sounding last names and alternate spellings. Proximity searches enable you to look for locations within a particular radius of an address element.

WHY IT MATTERS

SmartLinx™ Comprehensive Reports are a great starting point for your research, helping you identify connections between entities, which will inform the direction of your subsequent due diligence searches.

For instance, you may discover a connection between your target company and another entity you've never heard of, indicating the need for further exploration.

Similarly, if you identify an undisclosed corporate affiliation for a person you're investigating, you'll know to dig further to determine if any red flags in the person's past could expose your organization to risk.

SmartLinx™ Comprehensive Reports also provide a heads-up on major financial concerns, such as bankruptcies, liens and judgments.

Verification of key facts, such as DBAs and FEIN numbers, is another key reason to check SmartLinx™ Comprehensive Reports earlier in your due diligence process.

Plus, eye-catching risk flags can indicate that further investigation is warranted to rule out fraud or other suspicious activity—for instance, a flag that indicates your key contact is using the Social Security number of a deceased individual, or a business address provided by your contact is actually a motel.

Types of public records included:

SmartLinx™ Comprehensive Reports

- Business Associates
- Person Associates
- Fictitious Business Names/DBAs
- Phone Summary
- Addresses
- Bankruptcies
- Judgments and Liens
- Corporate Filings
- Registered Agents
- UCC Liens
- Company ID Numbers (FEINS, charter numbers)
- Parent Company
- Executives
- Industry Classification
- Experian Business Reports
- IRS Form 5500
- Better Business Bureau Membership Status
- Sales Information
- Real Property
- Aircrafts
- Professional Licenses

SmartLinx™ Comprehensive Person Report

- Business Associates
- Person Associates
- Others Using SSN
- Cellular and Alternate Phones
- Addresses
- Criminal Filings
- Bankruptcies
- Judgments and Liens
- UCC Liens
- Employment Locator
- Fictitious Business Names/DBAs
- Real Property
- Voter Registrations
- Professional Licenses
- Health Care Providers
- Health Care Sanctions
- Aircraft
- Pilot Licenses
- Sport Licenses
- Potential Relatives
- Neighbors
- Possible Education

Individual Public Records Databases

WHAT'S COVERED

*** Access to U.S. Public Records content is subject to credentialing.**

In addition to being able to search billions of public records at one time via the SmartLinx Comprehensive Reports (previously described), Nexis Diligence provides the option of searching public records databases individually.

While all public records sources are available for individual search, those that are most frequently searched in this manner by Nexis Diligence customers include:

Bankruptcies, Judgments & Liens

- Includes bankruptcies, judgments and liens from all 50 states, D.C. and select U.S. territories.

Criminal Records

- Includes approximately 457 million criminal records, 48 million Department of Corrections records, 383 million Criminal Court Records and over 19 million Arrest Records.

OSHA Inspection Reports

- Includes inspection reports from both state and federal Occupational Safety & Health Administration (OSHA) offices from all 50 states, D.C. and all U.S. territories. These reports document violations, penalties assessed, accident information and more.

Corporate Filings

- Contains records of corporation and limited partnerships from 49 states and D.C.

WHY IT MATTERS

While SmartLinx Comprehensive Reports provide a tremendous amount of public records coverage with a single click, there are a few reasons to search individual databases, too:

- SmartLinx Comprehensive Reports work by linking together records that contain matching data elements. A search will not join individual records to a report unless there's a high degree of confidence that the record is connected to the specific person or business featured in the report. This helps reduce the incidence of "false positives." For instance, if you were looking at a SmartLinx Comprehensive Person Report on John Smith, you wouldn't want the report to include criminal records for other people by the same name without additional matching elements such as an address, phone number and more; you want to be sure that linked records are about the correct individual.
- If a record is lacking in detail, for example, it only includes a person's name and arrest date, but no verifying personal information like date of birth, Social Security number or address, the SmartLinx Comprehensive Report will exclude the record. For this reason, customers often begin their research with SmartLinx Comprehensive Reports but continue to search the most critical standalone sources individually to ensure that they've seen all potentially relevant results. Bankruptcies and criminal records are the most-often searched databases because of this.
- You may also want to search an individual database because the content is excluded from the Comprehensive Reports in general. OSHA Inspection Reports, which can be important if you are performing due diligence on a company with manufacturing facilities, can only be searched via the individual database.
- And, you may have the need to simply check one type of public record, such as Corporate Filings or Property Records, so going directly to the source would be more efficient.

See Nexis Diligence in Action

Contact us to arrange a personalized demonstration of this powerful due diligence platform.

 LexisNexis.com/Lexis-Diligence  [@LexisNexisBiz](https://twitter.com/LexisNexisBiz)  LexisNexis.com/BizBlog  800-628-3612