

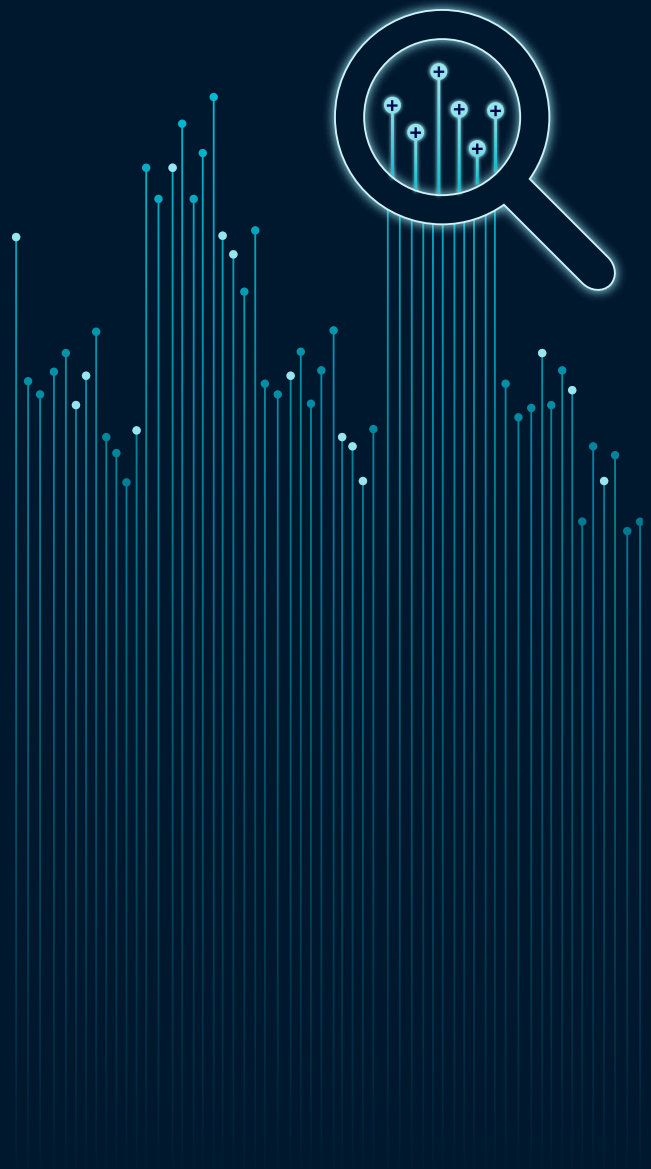
# Nexis Diligence+™: Unrivaled Content for Unrivaled Confidence

Due diligence is only as reliable as the content and data powering your efforts.

When due diligence efforts fall short, your organization encounters risks that can be disruptive and costly—both in terms of dollars and reputation. To avoid these missteps, Nexis Diligence+™ offers you access to an unrivaled collection of news, company, regulatory, sanctions, PEP, ESG and legal data—at scale—all in a single platform.

The Nexis Diligence+ solution goes beyond just public records or sanctions, combining sophisticated technology with a more comprehensive collection of global data to deliver in-depth, 360-degree assessments that you can trust. And with such a detailed view of the people and companies you're vetting, you can make decisions with more confidence—and a good conscience.

To gain an appreciation of all the content we provide—and why it matters—check out the detail below.





## NEWS & WEB MEDIA

### What's Covered

Over 38k global print, broadcast and web news media sources, including newspapers, newswires, press releases, magazines, trade publications, broadcast transcripts and more.

Arabic

Catalan

Chinese

Danish

Dutch

English

Finnish

French

German

Italian

Japanese

Malay

Norwegian

Polish

Portuguese  
(incl. Brazil)

Russian

Spanish

Swedish

Turkish



## Adverse Media

### Why It Matters

LexisNexis® offers global, robust news coverage—including substantial archival data—that's provided directly from publishers. The result? You never need to worry about missing a negative story and can quickly identify whether there's an ongoing pattern of negative activity that needs to be addressed.

This coverage, which includes English and non-English languages, pinpoints adverse news on a person or company by looking for associations with derogatory words like embezzle, fraud, indict, bankrupt, launder, etc. Not only that, but you can also tailor the sensitivity of these filters to align with your organization's policy approach and share your customized settings with all users in your team for maximum consistency.

Nexis Diligence+ even highlights the exact words that triggered the hit, allowing you to save time by identifying red flags immediately.

## ESG Custom News

### Why It Matters

Assessing the environmental, social, and governance (ESG) performance of companies you rely on is more important than ever. Beyond the reputational, financial, and long-term strategic risks of associating with poor ESG performers, organizations must consider a growing wave of ESG-focused regulations.

ESG custom news and the ESG Power Topics allow you to easily include ESG risk assessments into your due diligence and reporting, without slowing down.

You can align ESG custom news with your own organization's governance standards and ESG commitments. Using the ESG Power Topics accelerates the process further, rolling up all relevant terms to save time and effort while uncovering relevant information.

## General News

### Why It Matters

The Nexis Diligence+ solution is one of the few services on the market that allows you to look beyond "Adverse Media," covering all angles—the good, the bad and the ugly.

When searching for small businesses, private companies, or entities in remote locations with limited available information, general news is an invaluable resource. Adverse media may be too restrictive and, in these instances, provide limited meaningful results. By broadening your search to include all news, you can gain a more comprehensive understanding of the entity and can identify bona fide concerns that might otherwise go unnoticed.

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 an entity's management, their business dealings, strategy, organizational structure, ownership and more.



# COMPANY RECORDS

## What's Covered

Company reports cover more than 400 databases and over 280 million global public and private companies in developed and emerging markets. In addition to profiles of companies and the executives that run them, the Nexis Diligence+ solution features ESG Ratings provided by CSRhub, which aggregates data from SRI analysis firms, along with 800+ nongovernmental organizations, government agencies, news feeds, social networking groups, smaller for-profit organizations, and publishers. The Nexis Diligence+ solution also 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
- Creditreform®
- CreditSafe
- 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
- Vickers Securities Report
- Worldbox AG
- Worldscope International Company Profiles
- Zack's Equity Research

## Why It Matters

The Nexis Diligence+ solution offers you a powerful competitive edge, delivering access to a broad, comprehensive, and unmatched collection of regional, national and international content that ensures you'll never miss an important detail. Our solutions cover corporate hierarchies and parent/subsidiary structures, as well as:

- Ownership, including woman- or minority-owned status
- Management structure, including key officers and board of directors
- Lines of business
- Worldwide locations
- Corporate strategy
- Corporate history, including company name changes
- Executive changes
- Major products and services
- Financial results and ratios, earnings reports, stock repurchases
- Competitors
- SWOT analysis
- Mergers & Acquisitions activity
- Dun & Bradstreet® Ultimate Beneficial Ownership Data
- Financial stability and delinquency risk scores
- ESG Ratings
- Business associations

We even offer 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 180 countries and territories 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, 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

- 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

Working with formally sanctioned, disqualified or disbarred individuals or entities can lead to reputational damage, severe financial penalties, government sanctions, civil suits and enforcement actions by various regulators.



## POLITICALLY EXPOSED PERSONS (PEPs)

### What's Covered

The Nexis Diligence+ solution global PEP lists include 1.5+ 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

The Nexis Diligence+ solution draws upon hundreds of sources such as:

- Gale Biographies
- SGA Executive Tracker
- Dun & Bradstreet Professional Contacts
- The Complete Marquis Who's Who® Biographies
- The Official Board Biographies
- Salutory
- Morningstar, Inc. U.S. Executive Compensation Database
- Executive Biographies from Morningstar, Inc.

### 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.



## About Nexis® Solutions

Nexis® Solutions, as part of LexisNexis® and the global RELX corporate family, connects organizations to market-leading data to help companies establish and maintain trusted third-party relationships.

- Conduct efficient third-party screening and risk-aligned due diligence on a person or entity using the powerful, AI-enabled linking and filtering technologies built into our research platforms.
- Easily integrate enriched, connected data into in-house risk management workflows or risk analytics engines using flexible data APIs.
- Share actionable insights across your organization to enable data-driven decisions

**All reinforced by a customer success team committed to delivering the support needed to get maximum value from our solutions.**

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## See Nexis Diligence+ in action

Ready to take your due diligence to a higher level? Contact us to arrange a personalized demonstration of these powerful, confidence-inducing platforms.

**LexisNexis.com/Diligence-Plus | 1-888-466-3947**

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