



**\*\*INTERNATIONAL VETTING SAMPLE REPORT\*\***

October 5, 2007

Ms. Janet Watts  
Chen Alternative Asset Management  
123 rue de Courcellas  
75008 Paris, France

**RE: HUGO FOURNIER  
801310A**

Dear Ms. Watts:

RMS has completed the Phase IV international investigation on Hugo Fournier. Your firm presented name only to us, therefore, our direct public record searches were conducted in France. In the body of this report, you will be able to draw the necessary conclusions to make the proper decision on your future business relationship with this subject.

Should you have any questions or require further assistance in this matter, please feel free to contact your sales representative at (888) 306-0004.

Sincerely,

Sandy Gwynn  
Vice President  
(504) 831-1156

## **RISK MANAGEMENT SEARCH RESULTS INCLUDE THE FOLLOWING:**

**Hugo Fournier**

**Area of Research:**  
France

- Officer/Director Search
- Bankruptcy (France)
- Civil Litigation
- Criminal Records
- Tax Liens and Judgments
- Residential Address Verification
- Employment History Verification
- Education Verification
- Nationwide Database Search
- Nationwide Media Search
- OFAC
- Regulatory Agency Check

**OFFICER/DIRECTOR SEARCH**

*(Current Company Appointments)*

Corporation Name:	Générale Finance SA
Company ID:	123 456 789 00000
Date of Registration:	May 9, 2006
Position:	President/ Board Memeber
Status:	Active

**BANKRUPTCY SEARCH RESULTS (FRANCE)**

NO RECORD FOUND

**CIVIL LITIGATION RESULTS**

NO RECORD FOUND

**CRIMINAL RECORDS RESULTS**

NO RECORD FOUND

**TAX LIEN AND JUDGMENT RESULTS**

NO RECORD FOUND

**RESIDENTIAL ADDRESS VERIFICATION**

Subject:	Hugo Fournier
Street Address:	987 Rue Madame
City/State/Zip Code:	75006 Paris

**EMPLOYMENT HISTORY RESULTS**

Current Employment: Générale Finance  
Phone No.: 011 33 1 12 34 56 78  
City: Paris, France  
Position: President/ Board Member  
Status: Active

Confirmation: A discreet inquiry was made to the above company. A representative there confirmed his current employment.

Prior Employment: Credit Générale  
Phone No.: 011 33 1 34 12 56 78  
City: Paris, France  
Position: Associate  
From 1992 to 1999  
Status: Inactive

Confirmation: A discreet inquiry was made to the above company. A representative there confirmed his prior employment.

Prior Employment: Lumière Financial  
Phone No.: 011 33 1 56 34 12 78  
City: Paris, France  
Position: Vice President, Global Strategies  
From 1999 to 2000  
Status: Inactive

Confirmation: A discreet inquiry was made to the above company. A representative there confirmed his prior employment.

Prior Employment: ABC Finance  
Phone No.: 011 33 1 78 56 34 12  
City: Paris, France  
Position: Global Head of Equities  
From 2000 to 2006  
Status: Inactive

Confirmation: A discreet inquiry was made to the New York Office at (212) 555-1234. We spoke to John in Human Resources who stated that Hugo Fournier was on assignment in New York in 2003, but she could not state when Mr. Fournier left New York. He did confirm that the Corporate Office is in Paris at 011 33 1 78 56 34 12. We contacted the Paris office and spoke with Joan Richard regarding Mr. Fournier and she confirmed his prior employment and position.

#### **EDUCATION VERIFICATION**

Attended: University of Oxford  
City/State: Oxford, England

Comment: University officials confirmed that Hugo Fournier earned a degree in Business Administration. He graduated with highest honors has been enrolled since May 1, 1992.

#### **NATIONWIDE DATABASE RECORD RESULTS (France)**

A nationwide database search was conducted for bankruptcies, tax liens, and judgments, no records were found. A nationwide Officer/Director search was conducted with one (1) record being located for the subject. Please refer to the Officer/Director search in the body of this report.

#### **NATIONWIDE MEDIA RECORD RESULTS**

There were no articles referencing our subject, Mr. Hugo Fournier.

## **OFFICE OF FOREIGN ASSETS CONTROL**

- Agency: **Office of Foreign Assets Control**  
Washington, DC
- Result: The Office of Foreign Assets Control has no information on file in regard to the subject. Hugo Fournier is not on the list of “watched” individuals.

## **REGULATORY AGENCY SEARCH**

- Agency: **Autorite des Marches Financiers (AMF)**  
Paris  
Phone No.: 011 33 1 53 45 60 00
- Result: The AMF does not list Hugo Fournier as having any sanctions or disciplinary proceedings.
- Agency: **The Chartered alternative Investment Analyst Association (CAIA)**  
Amherst, MA  
Phone No.: (413) 253-7373
- Result: NO RECORD FOUND
- Agency: **Securities Exchange Commission**  
Washington, DC  
Phone No.: (202) 942-8088
- Result: The Securities Exchange Commission does not report Hugo Fournier of having a CRD No. There was no derogatory information on file.

- Agency: **Financial Industry Regulatory Authority**  
Rockville, MD  
Phone No.: (800) 289-9999  
Result: The Financial Industry Regulatory Authority which manages CRD Numbers for Broker/Dealers does not report Hugo Fournier of having a CRD No. that has been active in the past two (2) years. Information related to expired CRD numbers is only available to brokerage firms. There was no derogatory information on file
- Agency: **CFA Institute**  
Charlottesville, VA  
Phone No.: (434) 951-5499  
Result: NO RECORD FOUND
- Agency: **National Futures Association**  
Chicago, IL  
Phone No.: (312) 781-1300  
Result: The National Futures Association has no information on file in regard to Hugo Fournier. There was no derogatory information on file.

This concludes the investigation on the above captioned. Again, should you have any questions, please feel free to contact your sales representative, (504) 831-1156.

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