



**\*\*PHASE IV SAMPLE REPORT\*\***

August 1, 2006

Mr. Jim Brown  
ABC Investment Group  
111 Business District, Suite 100  
New Orleans, LA 70119

**RE: WILLIAM D. SMITH**

Dear Mr. Brown:

RMS has completed the Phase IV Risk Management investigation on William D. Smith. The investigation was conducted in New York County, New York and Fairfield County, Connecticut.

Should you have any questions or require further assistance, please contact your sales representative at (888) 306-0004.

Sincerely,

Sandy Gwynn  
Sr. Vice President  
(504) 831-1156

## **EXECUTIVE SUMMARY**

FSE Risk Management Solutions offers the following summary based on the information obtained through the course of our investigation:

William D. Smith was born on May 7, 1968 and was issued social security number 123-45-6789 in the state of New York in 1969. Mr. Smith currently resides in New York, NY.

The investigation was successful in developing and confirming the subject's educational background. Historical employment references were also developed, detailing 15 years of experience in the investment advisory industry.

The officer/director search at the New York Secretary of State's Office revealed no entities associated with your subject. Our nationwide media search identified several articles referencing the subject. No derogatory publications were found. We identified no regulatory fines or sanctions as having been levied against the subject.

During our investigation, we researched criminal records via direct public record research in New York County, New York, and Fairfield County, Connecticut. We discovered a DUI offense from 2003. No criminal actions or convictions were noted involving the subject on a federal level.

We located no state or federal litigation referencing the subject as plaintiff or defendant. Our nationwide search identified no judgments, tax liens or adverse public records filings recorded against the subject. We found no record of the subject filing for protection under the United States Federal Bankruptcy Code. There were no records found regarding any liens or judgments filed against Mr. Smith.

We hope the information presented within this report will be of assistance in your decision making process.

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

**WILLIAM D. SMITH**  
Social Security No.: 123-45-6789  
1 Investment Drive  
New York, NY 00000

**JURISDICTION(S):**  
Fairfield County, Connecticut  
New York County, New York

<b><u>Areas of Research</u></b>	<b><u>Results</u></b>
• Secretary of State Officer/Director Search	Records
• Federal Bankruptcy Court of New York (Southern District)	No Record
• Federal Bankruptcy Court of Connecticut	No Record
• Federal District Court of New York (Southern District) (civil/criminal)	No Record
• Federal District Court of Connecticut (civil/criminal)	No Record
• New York County, New York State Civil Litigation	No Record
• Fairfield County, Connecticut State Civil Litigation	No Record
• New York County, New York State/Local Criminal Records	Records
• Fairfield County, Connecticut State/Local Criminal Records	No Record
• New York County, New York Tax Liens and Judgments	No Record
• Fairfield County, Connecticut Tax Liens and Judgments	No Record
• Nationwide Database Search	No Record
• Nationwide Media	Records
• Residential Address Verification	Confirmed
• Employment History Verification	Confirmed

- Education Verification Confirmed
- Office of Foreign Assets Control (OFAC) No Record
- Regulatory Agency Search Records

**OFFICER/DIRECTOR**

1. Company Name: A-1 Family Investment, LLC  
Date Registered: January 2, 2004  
Registration No.: DE54321  
State of Registration: New York (foreign Delaware)  
Position Held: Director/Registered Agent  
Address: 1 Investment Drive  
New York, NY 00000  
Status: Active/Good Standing

**FEDERAL DISTRICT COURT CIVIL/CRIMINAL LITIGATION RESULTS**

NO RECORDS FOUND in the Southern District Federal Court of New York, and the Federal District Court for the State of Connecticut.

**BANKRUPTCY SEARCH RESULTS**

NO RECORDS FOUND in the Southern District Bankruptcy Court of New York, and the Bankruptcy Court for the State of Connecticut.

**STATE CIVIL LITIGATION RESULTS**

NO RECORDS FOUND in the New York County Supreme, District and City Courts, and the Fairfield County Supreme Court in Fairfield, Connecticut.

**STATE/LOCAL CRIMINAL RECORDS RESULTS**

1. Date Filed: July 4, 2003  
County: New York County  
Plaintiff/Defendant: State of New York vs. **William D. Smith**  
Case No.: CRIM579  
Charge: DUI  
Status: Fine paid \$850.00, with 6 months probation, License flagged

**TAX LIEN AND JUDGMENT RESULTS**

NO RECORDS FOUND in the Registry of Deeds office in New York county, New York, and the Registry of Deeds office in Fairfield County, Fairfield, Connecticut.

**NATIONWIDE DATABASE RECORD RESULTS**

A nationwide database search was conducted for bankruptcies, tax liens, and judgments, no records were found.

**NATIONWIDE MEDIA RESULTS**

The media search revealed several articles mentioning the subject. The articles made reference to his employment with Cooper Keller, Inc. Also, there were several articles pertaining to Mr. Smith's being the guest lecturer at several Investment Seminars.

There were no negative news articles referencing Mr. William D. Smith.

**RESIDENTIAL ADDRESS VERIFICATION**

Subject:	William D. Smith
Street Address:	1 Investment Drive
City/State/Zip Code:	New York, New York 000000
Phone No.:	Non-Published

**EMPLOYMENT HISTORY RESULTS**

Current Employment: Cooper Keller, Inc.  
Phone No.: (212) 555-3333  
City/State: New York, New York  
Position: Sr. Vice President/Investment Advisor  
Status: Active

Confirmation: The Human Resources department confirmed Mr. Smith is a current employee. He started with the firm in March of 1998.

Prior Employment: Investments Plus, LLC  
Phone No.: (212) 555-4444  
City/State: New York, New York  
Position: Associate  
Status: Termed on February 13, 1998

Confirmation: The Human Resources department confirmed the prior employment of Mr. Smith. Mr. Smith started in December of 1993 and terminated on February 13, 1998. This contact further stated Mr. Smith left on good terms, and is eligible for rehire.

**EDUCATION VERIFICATION**

Attended: Wharton (University of Pennsylvania)  
City/State: Philadelphia, Pennsylvania  
Phone No.: (215) 898-6636  
Degree Earned/Date: MBA, May 10, 1993

Attended: University of Pennsylvania  
City/State: Philadelphia, Pennsylvania  
Phone No.: (215) 898-6636  
Degree Earned/Date: BA, June 11, 1991

**REGULATORY AGENCY CHECK**

- Agency: **Securities Exchange Commission**  
Washington, District of Columbia  
Phone No.: (202) 942-8088  
Result: No Record of Registration
  
- Agency: **Financial Industry Regulatory Authority**  
Rockville, Maryland  
Phone No.: (800) 289-9999  
Result: William D. Smith is currently registered as a Broker/Dealer, CRD number 5551111, under the firm name of Cooper Keller, Inc. Mr. Smith has been registered with this firm since April of 1998. There are no disclosures reported.
  
- Agency: **National Futures Association**  
Chicago, Illinois  
Phone No.: (312) 781-1300  
Result: William D. Smith is a registered associated person with Cooper Keller, Inc., registration number 0005555, with a registration date of May 1, 1999. There were no regulatory actions filed against Mr. William D. Smith.
  
- Agency: **CFA Institute**  
Charlottesville, Virginia  
Phone No.: (434) 951-5499  
Result: William D. Smith is not a registered CFA.
  
- Agency: **New York State Securities**  
New York, New York  
Phone No.: (212) 416-8200  
Result: William D. Smith is currently registered as a Broker/Dealer with the firm Cooper Keller, Inc. His registration, CRD number 5551111 was filed on April 17, 1998. There are no regulatory actions 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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