

# Background Check Authorization



Print Name: \_\_\_\_\_ Company Name \_\_\_\_\_

I hereby authorize North Capital Private Securities Corporation and its designated agents and representatives to conduct investigations and inquires into my employment, criminal, educational, and other related matters as may be necessary in arriving at a decision for future business opportunities to include, but not limited to, project funding.

North Capital Private Securities Corporation and its affiliates and their designated agents and representatives shall maintain all information received from this authorization in a confidential manner in order to protect the applicant's personal information, including, but not limited to, addresses, phone numbers, and dates of birth. Notwithstanding, I authorize North Capital Private Securities Corporation and its affiliates and their designated agents and representatives to share and retain any information, records and data received in connection with this authorization with their partners and clients as deemed appropriate by them as may be related to the relevant business opportunity and as required or advisable to comply with any applicable legal and regulatory obligations.

I hereby release employers, schools, and other persons from all liability in responding to inquires connected with my application and I specifically authorize the release of information from, but not limited to, any schools, businesses, individuals, services or other entities that may be discovered during this search. Furthermore, I release North Capital Private Securities Corporation and its affiliates and their designated agents and representatives from all claims, liability and damages that may result from investigating, furnishing, communicating, reviewing or evaluating information pursuant to their investigation and from the use of any findings. I expressly intend that this release is as broad and inclusive as is permitted by law. If any portion of this release is held invalid, the balance will continue in full legal force.

Unless covered by a third party, I understand the fee for the investigations and inquiries authorized by me herein is \$100, which I agree to pay or cause to be paid at the time of this authorization. I understand this fee is non-refundable regardless of my or North Capital Private Securities Corporation's decision to enter into a business relationship. I authorize North Capital Private Securities Corporation and its affiliates and their designated agents and representatives to charge the \$100 fee to the credit card on file. I understand I may request in writing from North Capital Private Securities Corporation a copy of my background check report.

I acknowledge that I have read this authorization and release, fully understand it, and voluntarily agree to its provisions. I certify that all information I provide is true, correct and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **REQUIRED INFORMATION - PLEASE HAVE ALL "COVERED PERSONS" COMPLETE THIS FORM.**

Print Name: \_\_\_\_\_ Social Security #: \_\_\_\_\_

Former Names / Dates used: \_\_\_\_\_

Current Address: \_\_\_\_\_

Former Address (if at current address less than 1 year): \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Telephone #: \_\_\_\_\_ Email: \_\_\_\_\_

Check One:  I am a U.S. Citizen  I am not a U.S. Citizen (if checked, passport is required for KYC)

Are you working with a funding portal, broker dealer, or funding platform?  Yes  No

If yes, please provide the name: \_\_\_\_\_

## **ATTESTATIONS**

***If you responded "Yes" to any of the attestations below, please provide a signed written explanation of each.***

Have you committed any bad acts as defined in [Rule 506\(d\) of Regulation D](#)?  Yes  No

Have you ever been convicted of or pled no contest to a federal, state, or municipal criminal offense (including whether sealed or expunged)?  Yes  No

Do you or your affiliates currently have any pending legal litigation against you?  Yes  No

Do you or your affiliates currently have any judgments, orders or awards?  Yes  No

Have you or your affiliates ever filed for bankruptcy, had a foreclosure, or granted a deed in lieu of foreclosure?  Yes  No

Have you ever been subject to investor lawsuits, stop orders, SEC/FINRA proceedings, or state securities proceedings?  Yes  No

Have any charges of misrepresentation or fraudulent acts of any kind ever been made against you?  Yes  No

Have you ever been suspended or barred from the practice of any trade or profession?  Yes  No