



104 South Pleasant Street, Hingham, MA 02043 781-836-4643

2016 – Discovery Cheat Sheet – Tilkin Group updated June 13, 2016

Status	Action	Discovery	Y/N
Pre-hire	Pre-hire due diligence	FC Credit Report	
Pre-hire	Pre-hire due diligence	FC Personal Financial Statement	
Pre-hire	Pre-hire due diligence	FC References checked	
Pre-hire	Pre-hire due diligence	U4 reflecting previous employment	
Pre-hire	Pre-hire due diligence	FC Employment Agreement	
Pre-hire	Pre-hire due diligence	FC Tax Returns	
Pre-hire	Pre-hire due diligence	FC Background Check	
Pre-hire	Pre-hire due diligence	FC Prior firm compensation details/any disputes	
Pre-hire	Pre-hire due diligence	Any and all outside recruiter participation and communication	
Pre-hire	Pre-hire due diligence	Any non-affiliated litigation/prior non-securities lawsuits	
Pre-hire	Pre-hire due diligence	All social media accounts and postings	
	Pre-hire due diligence	Firm Policy Attestations (Outside Business Activity, Compliance Manual, Outside Investment Accounts, etc...)	
Pre-hire	Pre-hire due diligence	All agreements and compensation or bonus paid relative to FC recruitment internal and external	
Pre-hire	Pre-hire due diligence	Completed IRS Form W9 and/or W4	
Pre-hire	Pre-hire due diligence	All email/communications/memos between candidate and firm	
Pre-hire	Pre-hire due diligence	New Hire compensation agreement	
Post-hire	Ongoing Compliance/Supervision	Annual Firm/Office Management Delegation Memo	
Post-hire	Ongoing Compliance/Supervision	Firm and Branch Office Compliance Manual(s)	
Post-hire	Ongoing Compliance/Supervision	Annual Internal Branch Audit Results	
Post-hire	Ongoing Compliance/Supervision	Daily, weekly, monthly transaction exception report(s)	
Post-hire	Ongoing Compliance/Supervision	All notes, memos and emails relating to FC Supervision	
Status	Action	Discovery	Y/N
Post-hire	Ongoing Compliance/Supervision	All daily, weekly, monthly commission statements	
Post-hire	Ongoing Compliance/Supervision	All monthly FC performance reports /FC "Focus Report"	
Post-hire	Ongoing Compliance/Supervision	Menu of reports available through clearing firm	
Post-hire	Ongoing Compliance/Supervision	Receipt of all reports received from Clearing firm/daily, weekly,	



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		monthly	
Post-hire	Ongoing Compliance/Supervision	Branch OSJ Delegation Compliance Memorandum	
Post-hire	Ongoing Compliance/Supervision	Special Supervision Policy and procedure	
Post-hire	Ongoing Compliance/Supervision	All daily, weekly, monthly compensation statements	
Post-hire	Ongoing Compliance/Supervision	All notes, memos and emails relating to customer complaints/FC	
Post-hire	Ongoing Compliance/Supervision	Names, Bio and U4 of any and all FC supervisory personnel	
Post-hire	Ongoing Compliance/Supervision	Any and all communication with securities regulators relative to FC or account "managed" by FC	
Post-hire	Ongoing Compliance/Supervision	Any and all agreements with 3 rd parties supplying compliance services and support to firm.	
		List of any and all third party software or SOS (Software as a Service) utilized by firm to advance business, compliance or revenue; including but not limited to CRM, Surveillance, Asset Management, Email Surveillance, and Supervision.	
Post-hire	Ongoing Compliance/Supervision	All supervisory memos or entries regarding business/compliance review as conducted by supervisory personnel.	
Post-hire	Ongoing Compliance/Supervision	All records/memos of annual compliance meeting and employee attestations.	
Post-hire	Ongoing Compliance/Supervision	Any and all customer complaints received relative to FC and updated U4.	
Post-hire	Ongoing Compliance/Supervision	Any and all compliance evaluations/audit in response to customer complaints relative to FC.	
Post-hire	Ongoing Compliance/Supervision	Any and all compliance memos or entries relative to any internal investigations, inquiries or reviews of FC and their practice.	
Post-hire	Ongoing Compliance/Supervision		
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