



Our mission is to provide our customers with the highest standard of customized due diligence in the industry. We understand that working with a new service provider involves change and can bring about a certain level of uncertainty in the beginning.

Our promise is to consistently surprise and delight you throughout every stage of the order process. From the initial consultation to the final invoice, we will work with you to ensure all your transactions go smoothly and are successful!

ATTORNEY EXPERTISE

- Company formed by attorneys with decades of experience working with Article 9 and related lien searching/filing
- Extensive understanding of the federal, state, and local level courts
- Attorneys are involved in all stages of your order, including review of all results

SEARCH REPORTS

- The standard Do Diligence search report was designed specifically for law firms and is the most comprehensive search report in the industry
- If your firm prefers to have lien search results in a specific format or chart, we will provide your results in any format at no additional charge

ETHICAL PRICING

- Reduction in service fee when no records are found
- Free copies
- Do Diligence and Essential Lien Searches - easy to order searches at a predictable price

If your current provider is not offering solutions that meet your unique needs, please give us a call!

Do Diligence, LLC

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ILoveUCC@ddsimplified.com



TIM HALL



When I started my career in the UCC search and filing industry, sports fans were still talking about Michael Jordan's recent NBA playoff game, during which he scored 38 points for the Chicago Bulls while suffering from a bad case of the flu. Many people were also talking about the recent heavyweight fight when Mike Tyson lost to Evander Holyfield after biting his ear! For more than two decades, my career has been focused exclusively upon legal due diligence, particularly Article 9 of the UCC and searching and filing public records.

While my friends and family still don't understand what kind of law I practice, and what it is exactly that I do for a living, I still find the world of legal due diligence and Article 9 as fascinating as ever! It is both an art and a science, with constantly evolving statutes, administrative rules, filing office systems, and ever-changing industry practices.

I've also had the great fortune during my career of working closely with the groups that built the entire industry! I was lucky enough to have been an observer to the Uniform Law Commission Committee that wrote Article 9 of the UCC. Being in the room during the drafting discussions helped me to really understand what the drafters intended, and how to read between the lines of the statutory text.

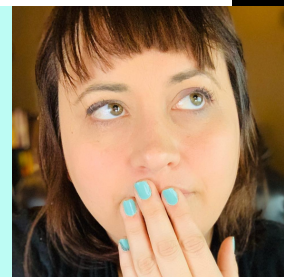
In addition, I've actively participated in IACA (International Association of Commercial Administrators) since 1999. IACA is the organization responsible for creating the model UCC forms, as well as drafting the model UCC Administrative Rules used by filing offices throughout the country. Over the years, I've had the pleasure of working with some amazing filing officers as part of the UCC Forms Committee and the UCC Administrative Rules Committee!

My favorite part of my job has always been getting to know you as a customer, understanding your transactions and needs, and doing everything I possibly can to help your transactions go as smoothly as possible. At Do Diligence, LLC, we focus exclusively upon due diligence searching and filing, and would love to help you with yours!





KRISTEN REESE



The second installment of the Lord of the Rings Trilogy was released a mere 6 months after I began my career in the UCC search and filing industry. I had completed my first year of law school and quickly learned that there was more to the Uniform Commercial Code than Article 2!

For the past 18 years, I have dedicated my career to helping law firms with their legal due diligence needs. While the roles throughout my career have been varied, they always seem to touch on searching and filing public records. I've often said, "You can take the UCC away from the girl, but you can't take this girl away from the UCC!"

The 5 year transition period for Revised Article 9 began 7/1/2001 and I started in the midst of all the changes. I advised clients on searching and filing under the "Old" and "New" Article 9. Who remembers In Lieu of Filings? Having to search where the location of the debtor and the location(s) of the collateral? Don't even get me started on dual filing jurisdictions...

Throughout my career, I've had the pleasure of working in a variety of roles and with law firms across the country. I started my journey by working directly with customers and helping them best form search and filing strategies. I helped to build and lead a successful team dedicated to international transactional services. I've most enjoyed my time as a Transactional Business Consultant where I advised clients on the nuances of Article 9, worked to create the best service experience, and assisted with the development of improved search reporting tools.

I'm thrilled to have the opportunity to reconnect with colleagues from the past and build working relationships with new clients. I encourage you to experience the Do Diligence Difference and see it for yourself!



DO DILIGENCE SEARCH REPORT

THE DO DILIGENCE DIFFERENCE

Entity ID included to
distinguish from debtors with
similar names →

Jurisdictions and search
types with No Records Found
are listed together and at the
beginning of the report
allowing for faster review
of all clear results →

Jurisdictions and search
types with records found are
listed together to identify
those that may require
action →

Snapshot of records found
for a single jurisdiction and
search type, followed by a
detailed document
listing on subsequent pages →

Order Number: DD-4553 (sample report)
Reference: Acct. 2334 - Trumbull Surgical
Matter: 6544-1332
Prepared For:
Jane Smith
Smith, Doe & Jones
9876 High Street
Anytown, USA 12345



DEBTOR INFORMATION

Target Name: Trumbull Surgical Services
Entity ID: 1134421 (Delaware Corporation)
Entity Status: Active

No Records Found

| Search Type | Jurisdiction | Filing Office | Through Date | Search Period |
|-------------------|-------------------------------|---------------------|--------------|---------------|
| Federal Tax Lien | Delaware | Secretary of State | 10/20/2020 | 10 years |
| UCC Fixture Lien | Philadelphia County, PA | Recorder of Deeds | 10/20/2020 | 5 years |
| State Tax Lien | Philadelphia County, PA | Prothonotary | 10/20/2020 | 10 years |
| Judgment Lien | Philadelphia County, PA | Prothonotary | 10/20/2020 | 10 years |
| Bankruptcy Search | Pennsylvania Eastern District | US Bankruptcy Court | 10/17/2020 | 10 years |

Summary of Records Found

| Search Type | Jurisdiction | Filing Office | Findings Found |
|-------------------|-------------------------------|-----------------------|--------------------|
| UCC Lien Search | Delaware | Secretary of State | 1-UCC-1; 3-UCC-3 |
| Federal Tax Lien | Philadelphia County, PA | Prothonotary | 1 Federal Tax Lien |
| Litigation Search | Philadelphia County, PA | Court of Common Pleas | 1 Civil Suit |
| Litigation Search | Pennsylvania Eastern District | US District Court | 1 Civil Suit |

Records Found

| | |
|----------------------|--------------------|
| Jurisdiction | DELAWARE |
| Filing Office | Secretary of State |
| Search Type | UCC Lien Search |
| Through Date | 10/19/2020 |
| Search Period | 5 years |
| Records Found | 1 UCC-1, 3 UCC-3 |



DO DILIGENCE SEARCH REPORT

THE DO DILIGENCE DIFFERENCE

Lapse date included on listing
so you can take faster action on
filings lapsing soon



Collateral description included
for every UCC-1 filing, including
every state and local filing
office!



Analysis and enhanced
description of the action
intended by each UCC-3
filing



Collateral description included
for UCC-3 filings when the
action taken affects
the collateral



DEBTOR INFORMATION

Target Name: **Trumbull Surgical Services**
Entity ID No. (If any): **1134421**

UCC-1 Initial Financing Statement

| File Date: | File Number: | Lapse Date: | Number of Pages: |
|-------------------------|--|-------------|------------------|
| 8/16/2012 | 20120873365 | 8/16/2022 | 5 |
| Secured Party Name: | Federal Home Loan Bank of Swarthmore | | |
| Collateral Description: | All of the Debtor(s) For valuable consideration, Grantor grants to Lender a first priority security interest in the Collateral to secure the payment of the Indebtedness including the Loan, fees and interest and any and all other liabilities of Grantor to Lender under the Agreement, whether now existing or hereafter arising and whether absolute or contingent. As used herein, the term "Collateral" includes all right, title, and interest of Grantor, whether now owned or existing or hereafter created, acquired, or arising, in and to all of the following: (A) accounts, (B) chattel paper, (C) instruments, (D) documents, (E) general intangibles, (F) letter of credit rights, (G) supporting obligations; (H) deposit accounts; (I) investment property; (J) inventory; (K) equipment; and (L) fixtures; together with (1) all supporting obligations, evidence and documents relating to any such property, (2) all accessions and additions to, and substitutions and replacements of, any and all of such property, and (3) any and all proceeds and products of the foregoing. | | |

UCC-3 Amendment

Number of Pages: 1

| | |
|--------------------|---|
| File Date: | 6/8/2013 |
| File Number: | 20130622929 |
| Action Taken: | Full Assignment from Federal Home Loan Bank of Swarthmore to Pennsylvania Erie Credit Union |
| Authorizing Party: | Federal Home Loan Bank of Swarthmore |

UCC-3 Amendment

Number of Pages: 1

| | |
|--------------------|--------------------------------|
| File Date: | 6/9/2017 |
| File Number: | 20170642318 |
| Action Taken: | Continuation |
| Authorizing Party: | Pennsylvania Erie Credit Union |

UCC-3 Amendment

Number of Pages: 2

| | |
|-------------------------|---|
| File Date: | 8/7/2018 |
| File Number: | 20180887324 |
| Action Taken: | Collateral Change - Delete Collateral |
| Collateral Description: | Delete interest in accounts 245-299 dated Apr. 3, 2017. |
| Authorizing Party: | Pennsylvania Erie Credit Union |



DO DILIGENCE SEARCH REPORT

THE DO DILIGENCE DIFFERENCE

Type of Action and
Status of case included to
expedite review →

→
Most Recent Docket Entry
provided to help organize
when multiple cases are found

→
Quickly prioritize with our
inclusion of the
Next Scheduled Action

| Records Found | | | |
|---------------------------|---|------------------------------|---------|
| Jurisdiction | PHILADELPHIA COUNTY, PA | | |
| Filing Office | Court of Common Pleas | | |
| Search Type | Litigation Search | | |
| Through Date | 10/19/2020 | | |
| Search Period | 10 years | | |
| Records Found | 1 Case | | |
| Civil Case | | | |
| File Date: | Case Number: | Type of Action: | Status: |
| 8/2/2020 | 20CV006093 | Medical Malpractice | Pending |
| Parties: | John Smith v. Trumbull Surgical Services | | |
| Most Recent Docket Entry: | Order extending time to file response to petition | | |
| Next Scheduled Action: | Motion Hearing | | |
| | | | |
| Jurisdiction | PENNSYLVANIA EASTERN DISTRICT | | |
| Filing Office | US District Court | | |
| Search Type | Litigation Search | | |
| Through Date | 10/17/2020 | | |
| Search Period | 10 years | | |
| Records Found | 1 Case | | |
| Civil Case | | | |
| File Date: | Case Number: | Type of Action: | Status: |
| 6/4/2020 | 20CV00164 | Employment Discrimination | Pending |
| Parties: | Jane Doe v. Trumbull Surgical Services | | |
| Most Recent Docket Entry: | Motion for summary judgment filed | | |
| Next Scheduled Action: | Set for Pre-Trial hearing | | |
| | | | |
| Records Found | | | |
| Jurisdiction | PHILADELPHIA COUNTY, PA | | |
| Filing Office | Prothonotary | | |
| Search Type | Federal Tax Lien | | |
| Through Date | 10/20/2020 | | |
| Search Period | 10 years | | |
| Records Found | 1 Federal Tax Lien | | |
| Federal Tax Lien | | | |
| File Date: | File Number: | Total Amount Due: | |
| 5/1/2019 | 201305010235173 | \$62,420.50 | |
| Taxpayer Name: | Trumbull Surgical Services | | |





DO DILIGENCE
Public Records Simplified

Our Answer is YES!

Can your current provider(s) say the same?

COMPANY INFORMATION

- ☐ Does the individual handling your order have 15+ years of UCC search and filing experience?
- ☐ Does the company focus exclusively on providing legal due diligence services for law firms?
- ☐ Is the company both woman-owned and veteran-owned?

SEARCH REPORTS

- ☐ Search report lists "no records found" results first to help expedite review of search results?
- ☐ Search report always contains the collateral description from all UCC-1 filings as part of the standard report?
- ☐ UCC-3 filings are analyzed and a detailed description of the action(s) taken by each UCC-3 is provided within the search report?

AFTER YOUR ORDER

- ☐ Invoice is sent with final results?
- ☐ Guarantee the final invoice will never exceed the amount of the estimated service fees?

BEFORE STARTING YOUR ORDER

- ☐ Search strategy consultation with experienced UCC attorney?
- ☐ Estimate includes a transparent, itemized breakdown of all fees - service, statutory, and correspondent?
- ☐ Offer a lien searching package that includes the most commonly-searched lien types for under \$189?

PRICING

- ☐ Prices for services are transparent and a price sheet is provided directly on their website?
- ☐ Significantly reduce their service fees when searches are conducted and no records are found?
- ☐ Copies are always FREE or at cost. No profit is ever made by charging excessive copy fees?

If their answer is NO, contact us to experience the Do Diligence Difference!

www.DDSimplified.com
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614.934.1767



ILoveUCC@ddsimplified.com

www.ddsimplified.com

Have you ever received an estimate from a service provider prior to performing your search, only to receive a final invoice that was much higher than expected?
The final invoice matters!

DO DILIGENCE SAMPLE ESTIMATE

| Debtor Name | Description | Service Fees | Correspondent Fees | Advanced Fees | Amount |
|--------------------------|--------------------------------|--------------|--------------------|---------------|----------|
| Debtor 1 | Secretary of State UCC Search | \$30.00 | \$10.00 | \$25.00 | \$65.00 |
| Debtor 1 | County Federal Tax Lien Search | \$30.00 | \$15.00 | \$0.00 | \$45.00 |
| Debtor 1 | County State Tax Lien Search | \$30.00 | \$15.00 | \$0.00 | \$45.00 |
| Debtor 1 | US District Court Search | \$30.00 | \$10.00 | \$0.00 | \$40.00 |
| TOTAL SERVICE FEES | | | | | \$120.00 |
| TOTAL CORRESPONDENT FEES | | | | | \$50.00 |
| TOTAL ADVANCED FEES | | | | | \$25.00 |
| ESTIMATE TOTAL | | | | | \$195.00 |

Middle-tier service fees quoted on every estimate

If no records are found we will reduce our service fee on the final invoice

Correspondent and jurisdictional fees are always included on your estimate

DO DILIGENCE SAMPLE FINAL INVOICE

| Debtor Name | Description | Service Fees | Correspondent Fees | Advanced Fees | Amount |
|--------------------------|--------------------------------|--------------|--------------------|---------------|----------|
| Debtor 1 | Secretary of State UCC Search | \$30.00 | \$10.00 | \$25.00 | \$65.00 |
| Debtor 1 | County Federal Tax Lien Search | \$20.00 | \$15.00 | \$0.00 | \$35.00 |
| Debtor 1 | County State Tax Lien Search | \$20.00 | \$15.00 | \$0.00 | \$35.00 |
| Debtor 1 | US District Court Search | \$20.00 | \$10.00 | \$0.00 | \$30.00 |
| TOTAL SERVICE FEES | | | | | \$90.00 |
| TOTAL CORRESPONDENT FEES | | | | | \$50.00 |
| TOTAL ADVANCED FEES | | | | | \$25.00 |
| INVOICE TOTAL | | | | | \$165.00 |

4 filings were found at the Secretary of State. The tax lien and USDC searches had no records found

As a result, we've reduced our service fees

Copies of the filings were free therefore the advanced fees remain the same

Reduced service fees and free copies = savings on the final invoice!



Our unique results-based pricing structure reflects our belief that pricing should be transparent, ethical, and provide great value to our customers.

When records are uncovered during a search, we never charge inflated copy costs.

Copies are always free or at cost!

DO DILIGENCE SEARCH \$180

State Level Lien(s)
Fixture Filing

Federal Tax Lien
State Tax Lien

Judgment Lien
Local Litigation

US District Court
US Bankruptcy Court

ESSENTIAL LIEN SEARCH \$100

State Level Lien(s)
Fixture Filing

Federal Tax Lien
State Tax Lien

Judgment Lien

When your transaction doesn't require a Do Diligence or Essential Lien Search, we offer the option to order only the searches you need.

SEARCH SERVICES

State Lien(s)
UCC Fixture Filing

Federal Tax Lien
State Tax Lien

Judgment Lien
Local Litigation

US District Court
US Bankruptcy Court

SERVICE FEES

Records Found (1-15)
\$30.00

Records Found (16 or more)
\$40.00

When we conduct a search and no records are found, we *reduce* our service fee!

No Records Found
\$20.00

UCC FILING SERVICES

UCC-1/Fixture Filing \$40
UCC-3 Amendment \$30

CORPORATE DOCUMENTS

Good Standing Certificate \$40
Formation Documents \$40

ADDITIONAL SEARCH SERVICES

**FAA SEARCH
\$180**

Aircraft
Engine
International Registry

**NATIONAL USDC AND
USBC SEARCH
\$150**

Per name searched,
includes all courts

All charges are per jurisdiction/per entity.
Correspondent fees and jurisdictional fees are not included, but will be provided on an estimate.



SEARCH SERVICES: DEFINITION AND SCOPE

- **State Liens:** Includes all lien records maintained by the central filing office
 - **Examples:** In California, the Secretary of State maintains an index containing UCC liens, Federal Tax Liens, State Tax Liens and Judgment Liens. All four lien types will be included in the state lien search for one price. In contrast, the Delaware Department of State maintains an index containing UCC liens and Federal Tax Liens. These two lien types will be included in the search.
- **UCC Fixture Filings:** Includes fixture filings that are filed under Article 9 using the standard UCC form. It does not include liens filed under non-Article 9 law that may encumber fixture collateral
 - **Examples:** A fixture lien search will not include Tax Liens, Deeds of Trust, etc.
- **Federal Tax Liens:** Liens filed by the IRS and filed in the Federal Tax Lien index in the local filing office.
- **State Tax Liens:** Liens filed by a state taxing authority in the local filing office. This index frequently includes other liens that are directed by statute to be filed in the State Tax Lien index, these additional lien types will be included with search results.
 - **Examples:** Liens filed by state environmental agencies, regional or local taxing authorities, etc.
- **Judgment Lien:** These liens are filed when a judgment is obtained and a certificate of judgment (or similar filing) is made to create a lien against the assets of the defendant.
- **Litigation:** When searching for litigation, you have the option to search for open cases, closed cases, or both open and closed cases. In addition, a search can be conducted to find cases in which the party is the defendant, the plaintiff, or a third-party named in a case. Most of our clients choose to limit the search to open cases only, and only cases in which the party is named as a defendant.
 - **Local Court:** A search of the court of general jurisdiction at the county or city/town level.
 - **Federal Court:** A search of the U.S. District Court. These searches are conducted by state. Our searches include each district within the state for a single price.
 - **Example:** In Texas there are four US District Courts (Northern, Southern, Eastern, and Western). We will search each of these four courts for a single price.
- **Bankruptcy (Federal Court):** We treat Bankruptcy Court searches the same way we treat US District Court searches. When there are multiple Bankruptcy Courts within the same State, we search all of the courts for the price of a single search. Our standard search includes all cases in which the debtor is the party filing for bankruptcy. It does not include cases in which the debtor is listed solely as a creditor in another party's bankruptcy case.

