



# ACQUIRE INTERACTIVE

## **Acquire Interactive Partner Compliance Questionnaire**

Acquire Interactive, LLC (“Acquire Interactive”) is providing this Compliance Questionnaire to you as part of its due diligence and onboarding process for new partners. Please have a representative of your company, who has knowledge of your company’s operations and risk management, complete this questionnaire. If a question is not applicable to you, please indicate with “N/A.” Once the questionnaire is completed, please have a senior executive confirm the accuracy of the information provided by signing the questionnaire. You may return a copy of the complete signed questionnaire via email to [compliance@acquireinteractive.com](mailto:compliance@acquireinteractive.com). Should you have any questions or require clarification, please submit to the same address and our compliance team will reach out to assist you.

### **General Information**

1. Company Name:
2. Company President or CEO Name:
3. Person responsible for Compliance:
4. Title of person responsible for Compliance:
5. Email Address of person responsible for Compliance:
6. Telephone Number of person responsible for Compliance:
7. Have there been any changes in your organizational structure (i.e. senior management or major acquisitions/mergers) in the past year?  Yes  No If “Yes,” please explain:
8. Please list all trade associations of which you are currently a member.

### **Legal and Compliance**

1. Does your company have established compliance policies and procedures?  Yes  No If no, please explain:
2. Does your company monitor for compliance with your company’s policies and procedures?  Yes  No If no, please explain:
3. In the past five (5) years, has your company been named as a defendant in any regulatory investigations and/or enforcement actions OR are there any active litigation files, including letters asserting claims, complaints, answers, etc., against to your company related to the services provided to Acquire Interactive?  Yes  No If yes, please explain:
4. In the past five (5) years, has any member of senior management or director been named as a defendant in a suit alleging fraud, deception, unfair or deceptive practices or similar actions (including bring a named defendant in any responses provided to questions 2 and 3)?  Yes  No If Yes, please explain.
5. Are there any decrees, orders or judgments of courts or governmental agencies related to your company:  Yes  No If yes, please explain:
6. Does your company have established internal controls in place to ensure compliance with legal and regulatory requirements pertaining to the services provided to Acquire Interactive or its customers, including but not limited to Unfair, Deceptive or Abusive Acts or Practices (UDAAP)?  Yes  No If no, please explain how your company manages such compliance:
7. Are there any states where your company is unable to conduct business in for any reason:  Yes  No If yes, please list:

8. Does your company perform due diligence on parties with whom you work?  Yes  No If no, please explain:

9. Does your company safeguard sensitive/personal customer data?  Yes  No

Depending on the answer you provide above, we may request additional materials from you. Additionally, by signing below, you also attest that the information provided in this Compliance Questionnaire is true and accurate as of the date of this questionnaire. You further attest that any event that would materially change any response to the questions within shall be reported to Acquire Interactive within five (5) business days of your knowledge of such event.

Review Completed by: \_\_\_\_\_

\_\_\_\_\_  
[Signature]

\_\_\_\_\_  
[Name, Title]

\_\_\_\_\_  
[Date]

\_\_\_\_\_  
[Company]