

# TRAC™ GUIDE

How to Apply

## TRAC™ - How to Apply

*Before applying for a new TRAC application, it is advisable to check the [TRAC Register](#) to verify if your company is already registered in the database. If you have questions or need assistance regarding your existing TRAC registration, reach out to TRAC customer support for further guidance [TRAC@ethixbase360.com](mailto:TRAC@ethixbase360.com)*

### Step 1: How to create your TRAC account:

If you have been sent an invitation via email, please click the link in the initial email to create an account. If you don't have the initial email, write to: [TRAC@ethixbase360.com](mailto:TRAC@ethixbase360.com)

Visit <https://tpms.ethixbase360.com/Home/ApplyForTRAC> to register and follow the prompts to create your username and password.

**Step 2:** You will be directed to complete all sections of the TRAC application – do not use Caps Lock to complete the sections:

- **Initial ASC Documents:** TRAC candidates must provide written consent to participate in the review process.
- **Business Information:** Provide your company's legal name, address, and contact information for your authorized representative.
- **Information on Ownership and Senior Executives:** Add the company owners and identify directors and senior executives. Provide full names in this section – avoid nicknames.
- **Business Registration and Credentials:** Candidates must provide a copy of a valid, current business registration with the full legal name of the company, issued by a government agency showing that the company is active and in good standing for the current year and proof of address with an issue date of less than six months. If appropriate, a simple, unofficial English translation should also be provided. View a list of acceptable documents [here](#)
- **Compliance Information:** Complete the compliance questionnaire and provide brief explanations where necessary.
- **Ethics and Social Responsibility:** Complete a short questionnaire on anti-bribery, anti-corruption, human trafficking, felonies and criminal acts, modern slavery, conflict minerals, child labor, labor laws and bankruptcy. If appropriate, upload copies of your policies. An anti-bribery policy is required, if your company does not have an anti-bribery policy and would like to adopt one, you may use our free template "Anti-bribery Policy Template 2023".
- **Certifications:** Listed in this section are some widely used certifications of quality and diversity. Whenever possible, please upload your certification.

- **Supplemental Information and Documents:** At your discretion, individuals or entities may use this section to upload any documents, additional certifications and awards they would like to share with their TRAC connections. This section can also be used for responses to screening results.
- **Required field:** If applicable, approve or deny any pending requests from business partners.

When all sections are marked complete, the “**Submit TRAC**” link will appear at the bottom of the page. Click the link to confirm submission and proceed to the payment section and if applicable, proceed to the payment page, TRAC has an annual fee of US\$400. Once approved, your TRAC is valid for one year.

### Screening section and continuous monitoring

Once the TRAC application is submitted to Ethixbase360 for review, the screening of the provided names will commence immediately. This step involves a thorough review of the "Screening" section by a due diligence analyst. It is essential to note that during this phase, it is advised to refrain from disputing any information until our research and review is completed.

The screening process conducted by TRAC involves continuous monitoring of all names provided in the application throughout the one-year validity period of the report. The purpose of this screening is to identify any potential risks associated with the individuals or entities listed in the application. The screening primarily focuses on the following categories:

- **Watchlists:** TRAC compares the names against various watchlists, which consist of individuals or organizations that have been flagged by regulatory bodies, law enforcement agencies, or international organizations due to their involvement in illicit activities, financial crimes, terrorism, or other unlawful practices.
- **International Sanctions:** TRAC checks if the names appear on international sanction lists. These lists are implemented by governments or supranational organizations to restrict business activities with specific countries, individuals, or entities due to political or security concerns.
- **Politically Exposed Persons (PEP):** The screening process includes determining whether any of the listed individuals are classified as politically exposed persons. PEPs are individuals who hold significant public office positions or are closely associated with such positions. The focus on PEPs is necessary due to the potential risks associated with bribery, corruption, and conflicts of interest.
- **Denied Parties Databases:** TRAC examines the names against denied parties databases, which contain information about individuals or organizations that are prohibited from conducting business due to legal or regulatory restrictions. These databases are typically maintained by governments or international bodies.
- **Global Online Media:** Global events with our screening process that extends beyond English news, providing in-depth insights from local media sources worldwide, accurately translated. This approach ensures early access to emerging risks and under-reported stories, giving you a decisive competitive edge.

During the reputational screening, the findings are compared against the information provided in the TRAC application. In cases where discrepancies or potential issues arise, a TRAC due diligence analyst will follow up with additional questions to clarify the situation. This ensures that any discrepancies are thoroughly investigated, and false positive results are ruled out.

If you need further assistance, contact the TRAC team by writing at [TRAC@ethixbase360.com](mailto:TRAC@ethixbase360.com)

## APPENDIX 1: TRAC™ Required Registrations & Credentials

### Documents Instructions:

For NEW applications, please combined files into pdf format from List A and B. Proof of address, use List C

For TRAC RENEWAL, please use List A. Proof of address, use List C.

All international documents must be provided with an English translation of each document plus the originals.

List A – Article of Incorporation	List B – Certificate of Good Standing	List C - Proof of Address
<p>What is the purpose of Article of incorporation? Articles of incorporation are important documents because they serve as legal proof that your company is established in your state. The articles contain mandatory provisions - which provide the state government with certain basic information about the corporation.</p> <p><b>Most Commonly Used Documents:</b></p> <ul style="list-style-type: none"> <li>• Articles of Incorporation / Organization / Formation (if stamped as filed with an authority)</li> <li>• Certificate of Formation / Organization (if stamped as filed with an authority)</li> <li>• Bylaws for your company (if stamped as filed with an authority)</li> <li>• Limited Liability Company Articles / Articles of Amendment</li> <li>• Partnership documentation</li> <li>• Town charter, documentation from state governments for town existence; Governor’s declarations; formal resolution from town council establishing office, if it contains the date your entity began)</li> <li>• License to Operate (issued by city, state)</li> <li>• City Business Tax Certificate</li> </ul> <p>All international documents must have a satisfactory English language translation attached.</p>	<p><b>What is a certificate of good standing?</b> A certificate of good standing—also called a certificate of existence, status certificate, or certificate of authorization—is a document issued by a government authority, usually a secretary of state, that shows your entity has met its statutory requirements and is authorized to do business.</p> <p><b>What does a certificate of good standing confirm?</b> Depending on the jurisdiction, a certificate of good standing confirms (among other things) that your business:</p> <ul style="list-style-type: none"> <li>• Is up to date on jurisdiction fee payments</li> <li>• Has filed an annual report</li> <li>• Has paid franchise taxes</li> </ul> <p><b>Most Commonly Used Documents:</b></p> <ul style="list-style-type: none"> <li>• PDF file of your business profile in your country’s official online business registry (must be current registration and must include the registry URL). <i>Do not submit Screenshot</i></li> <li>• Certificates of Good Standing* issued by your state to your business that contains date of incorporation, organization, or establishment</li> </ul> <p>All international documents must have a satisfactory English language translation attached.</p>	<p><b>What is proof of address?</b> The term proof of address is self-explanatory: refers to a document that verifies where your company is physically located.</p> <p><b>Most Used Documents:</b></p> <ul style="list-style-type: none"> <li>• Bank Statements (please redact sensitive information)</li> <li>• credit card statement</li> <li>• Bank reference letter</li> <li>• Mortgage statement or contract</li> <li>• Letter issued by a public authority (e.g. a courthouse)</li> <li>• Department of Treasury IRS letter assigning your EIN</li> <li>• Secretary of State Certificate of Filing</li> <li>• Utility Bills (water, gas, or electric)</li> <li>• Phone bill (please redact sensitive information)</li> <li>• Recent City Business Tax Certificate</li> <li>• Tax Exemption Status Letter</li> <li>• Tax invoices (federal, state, local, international)</li> <li>• “Doing-business-as” or DBA documents (if stamped as filed with an authority)</li> <li>• Annual company tax returns</li> <li>• Authorized change of address form</li> <li>• Official letter from an educational institution</li> <li>• Municipality bill or government tax letter</li> <li>• License to Operate (issued by city, state, government)</li> </ul> <p>All international must have a satisfactory English language translation attached.</p>

For proof of your entity incorporation, choose document(s) from List A. Official formation documents you must file with your jurisdiction to start a business. The articles contain mandatory provisions - which provide the state government with certain basic information about the corporation.

For a certificate of good standing, choose a document(s) from List B. Must show that your company is active and in good standing for the current year.

For proof of address, choose most used document(s) from List C. Document must have both your full, correct legal business name (or registered trade or dba name) and issued within the last 6 months, correct physical address. Please do not provide a PO box or self-filing form and please redact bank account numbers or any sensitive information.



### **About Ethixbase360:**

Ethixbase360 helps organizations achieve value chain transparency through its market-leading third-party risk management platform and risk-based due diligence solutions. With a dedicated focus on anti-corruption, modern slavery, human rights and ESG, Ethixbase360's solutions are aligned with the 10 principles of the United Nations Global Compact and provide actionable insights into third party risk and resilience factors. The Ethixbase360 platform and embedded risk-based due diligence solutions offer organizations a sustainable and scalable approach to managing third party risks across the entire value chain.

In 2022, Ethixbase360 acquired Tcompliance expanding its due diligence offerings to include Tcertification, the gold standard in third party due diligence, and other collaborative due diligence solutions. Combined, the two companies have conducted over 1 million due diligence reviews in every non-sanctioned country and monitor more than 2 million third parties daily. Learn more at [www.ethixbase360.com](http://www.ethixbase360.com).