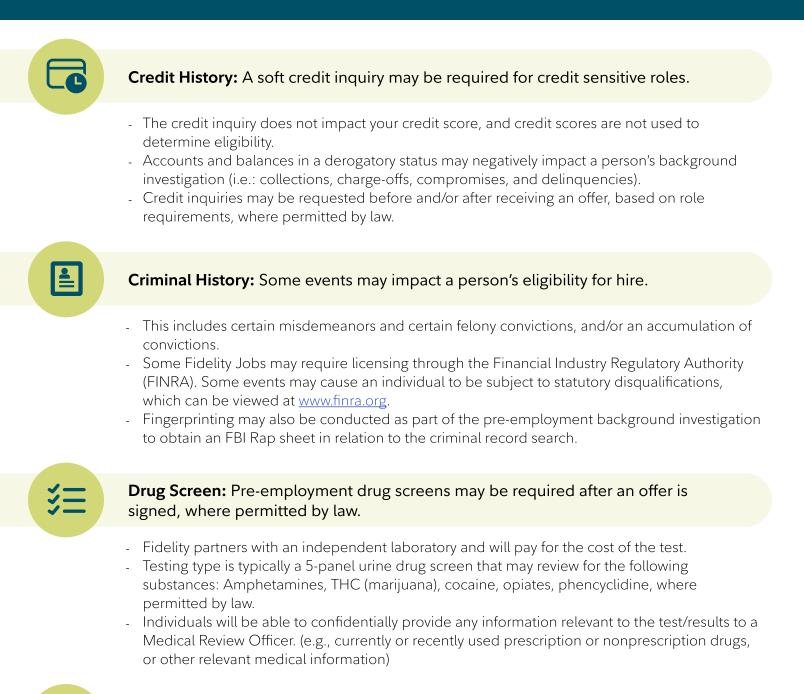# Fidelity Investments **Background Investigation**

The Fidelity Investments Background Investigations team provides comprehensive global background vetting of all new hires, which includes permanent, temporary, and third-party contractors, as well as periodic reviews of our existing full-time associates. They are conducted to protect the Fidelity brand, proactively reduce risk, mitigate the likelihood of an adverse incident occurring at Fidelity that could jeopardize investor and/or client confidence, reduce liability due to inconsistent hiring or screening practices, and avoid exposure to negligent hiring/retention lawsuits.

Credit History: A soft credit inquiry may be required for credit sensitive roles.

- The credit inquiry does not impact your credit score, and credit scores are not used to determine eligibility.
- Accounts and balances in a derogatory status may negatively impact a person's background investigation (i.e.: collections, charge-offs, compromises, and delinquencies).
- Credit inquiries may be requested before and/or after receiving an offer, based on role requirements, where permitted by law.

Criminal History: Some events may impact a person's eligibility for hire.

- This includes certain misdemeanors and certain felony convictions, and/or an accumulation of convictions.
- Some Fidelity Jobs may require licensing through the Financial Industry Regulatory Authority (FINRA). Some events may cause an individual to be subject to statutory disqualifications, which can be viewed at www.finra.org.
- Fingerprinting may also be conducted as part of the pre-employment background investigation to obtain an FBI Rap sheet in relation to the criminal record search.

Drug Screen: Pre-employment drug screens may be required after an offer is signed, where permitted by law.

- Fidelity partners with an independent laboratory and will pay for the cost of the test.
- Testing type is typically a 5-panel urine drug screen that may review for the following substances: Amphetamines, THC (marijuana), cocaine, opiates, phencyclidine, where permitted by law.
- Individuals will be able to confidentially provide any information relevant to the test/results to a Medical Review Officer. (e.g., currently or recently used prescription or nonprescription drugs, or other relevant medical information)

Education: College degree requirements will vary by role/business unit.

- Only claim a degree that has been fully awarded.
- Do not claim a degree that is still in process at the time the background investigation occurs, even if it will be completed prior to the offered start date.

Employment: Individuals will be asked to disclose up to 10 full years of employment history.

- This should include, but is not limited to, any full time, part time, contract, temporary, seasonal, delivery/car services, military service, self-employment, periods of unemployment, etc., and accurate representations of all relevant employment details.
- Individuals will be asked to disclose all terminations since the age of 18. Termination types may include being fired for any reason, being asked to resign, being laid-off, etc.

Additional Components that may be reviewed based on role requirements.

- Regulatory: For those with prior FINRA registration, seeking a position requiring registration or who have previously worked in a finance-based position, additional Global Sanctions and/or Office of Foreign Assets Control (OFAC) searches may be conducted as part of the pre-employment background investigation.
- Adverse Media Search: This search may be conducted as part of the pre-employment background investigation on a case-by-case basis and can include, but is not limited to, news sources, websites, or blog posts.

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