



## Researching Individuals

Marc Auerbach, Research Associate  
United Food and Commercial Workers  
October 29, 2014

# Quick Introduction

I work on the Making Change at Walmart Campaign where I spend a lot of my time researching the Walton family and members of the Walmart Board of Directors. My colleagues and I produce content for internal purposes (campaign strategy) and also for public consumption. A lot of the latter finds its way to the [Walmart1Percent.Org](https://www.walmart1percent.org) website, blog, or social media platforms, or goes to support allies who have concerns with particular aspects of the Walton/Walmart record (e.g. education, environment).

Today, I'm going to take a quick stab at identifying *why* we care about individuals but I am mostly going to avoid strategy talk. I will focus mainly on straightforward techniques I or my colleagues have found useful.

I'll start with more informal stuff. The truth is, when we get a new name in our hopper we all like to take a quick online "immersion" bath before we hit the SEC filings and public records, which often provide the core of our basic profile material.

I'll circle back to those public records and SEC filings but I won't go into a lot of detail there – except to talk about certain key items and how to locate free options for getting at them if you don't have access to a subscription service like Lexis.

This definitely won't be comprehensive, but hopefully you'll find stuff you can use.

# Why Individual Research?



## Individuals as The Deciders

- Who are the deciders?
- How do we reach them?
- What will convince them that it's in their interest to change their behavior?

# Why Individual Research?

## Individuals as Part of Meaningful Groups

- Potential allies
- Knowing or unknowing information providers
- “Communities” to learn about/from

Examples: Low-level managers, HQ staff, Labor Relations staff; IT staff; customers in particular geographies...

# Building a Knowledge Base

## Fundamentals

- Address(es)
- Phone(s) and emails
- Major Assets
- Voting / Registration
- Basic bio & social networks
- Business networks

## Deeper

- Political affiliations and \$
- Harder-to-find assets/deals
- Personal interests
- What's important?

## Monitoring

- Time, Place, Status

Intangibles?

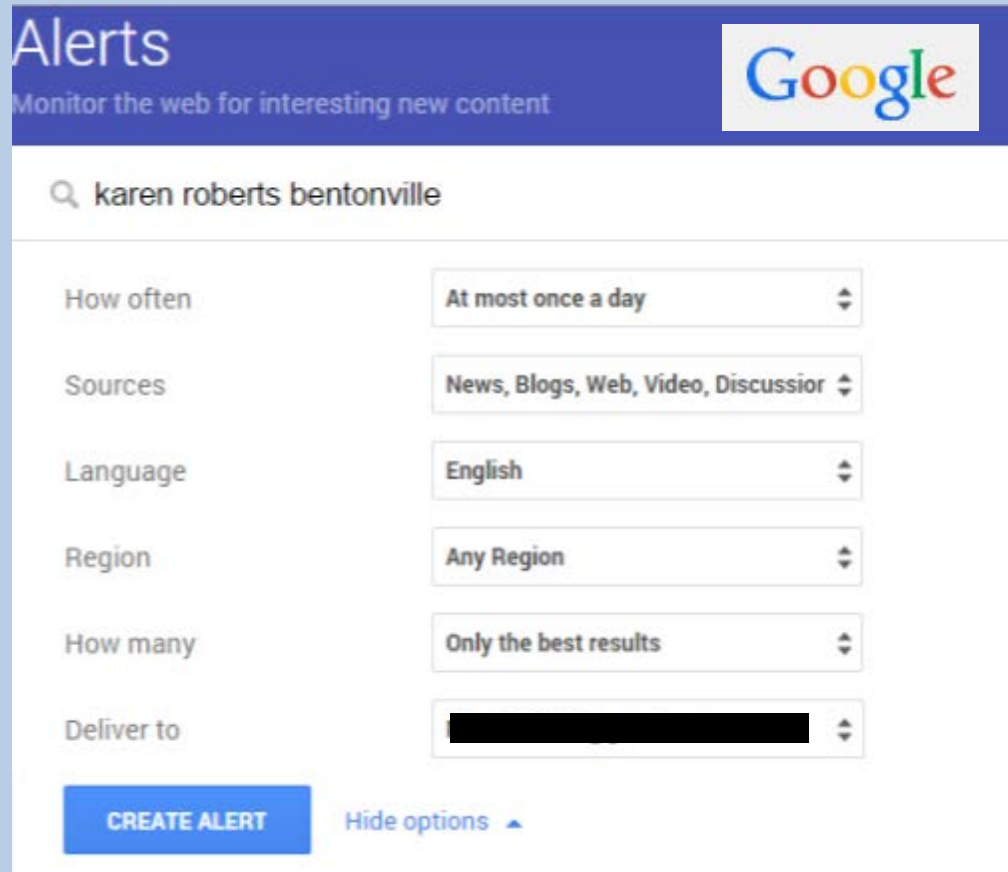
## New subject? Set an alert.

To set up a Google and/or Bing alert you'll need the appropriate account.

Test different combinations of terms to see what gets the most useful results.

<https://www.google.com/alerts>

<https://www.bing.com/profile/interests/>



The screenshot shows the Google Alerts interface. At the top, the word "Alerts" is displayed in white on a blue background, with the Google logo to its right. Below this, a subtitle reads "Monitor the web for interesting new content". A search bar contains the text "karen roberts bentonville". Below the search bar, there are several settings: "How often" is set to "At most once a day", "Sources" is set to "News, Blogs, Web, Video, Discussior", "Language" is set to "English", "Region" is set to "Any Region", "How many" is set to "Only the best results", and "Deliver to" is set to a redacted email address. At the bottom left is a blue button labeled "CREATE ALERT", and at the bottom right is a link labeled "Hide options" with an upward-pointing triangle.

Alerts

Monitor the web for interesting new content

Google

Q karen roberts bentonville

How often: At most once a day

Sources: News, Blogs, Web, Video, Discussior

Language: English

Region: Any Region

How many: Only the best results

Deliver to: [REDACTED]

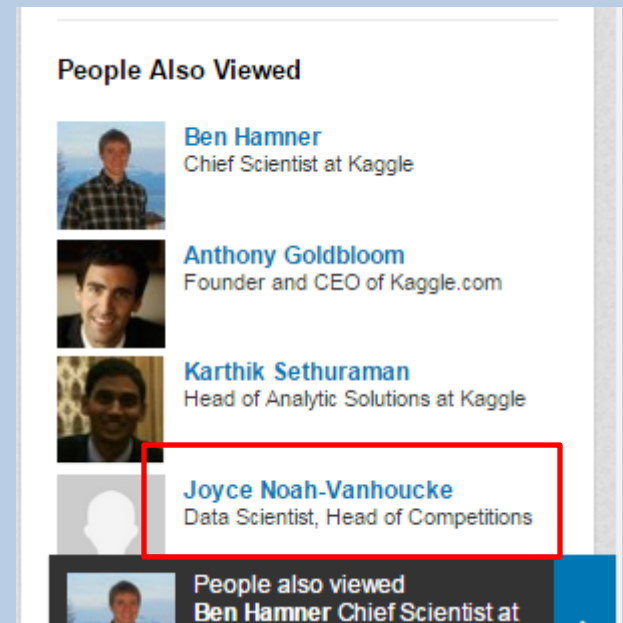
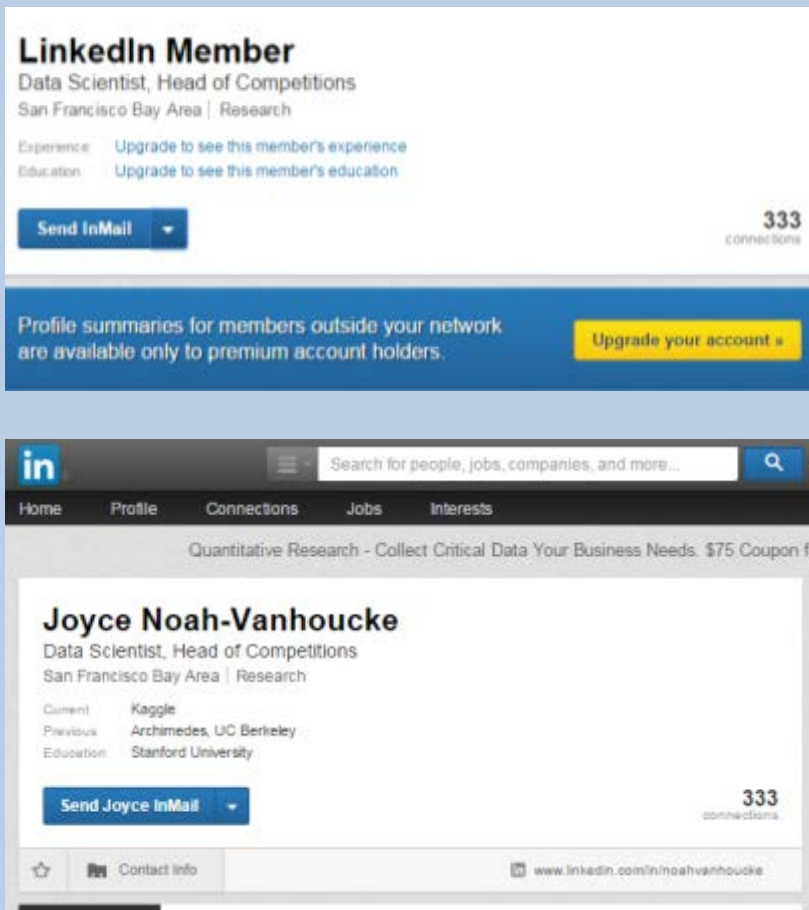
CREATE ALERT

Hide options ▲

# LinkedIn

- If you're looking at professionals, great for both "decider" research and group-based research
- You'll find: Basic work history and education; sometimes can determine past or present co-workers; find people in similar positions; get pictures, which can be used to confirm identity on other social networks, etc.
- To use LinkedIn you have to set up an account to use it (be careful about your own privacy settings)
- You don't need to pay to make good use of LinkedIn
- At the main search page, make sure you uncheck any limiting options and choose "ALL" in the relationship menu, rather than 1-3<sup>rd</sup> connections. If you feel you're not finding good results from the search page, play around for a while. You can usually improve the results, but LinkedIn wants you to think you have to pay for an upgrade
- Aside from search, the big issues with (free) LinkedIn are 1. Getting blocked from seeing certain profiles and 2. Organizing your information

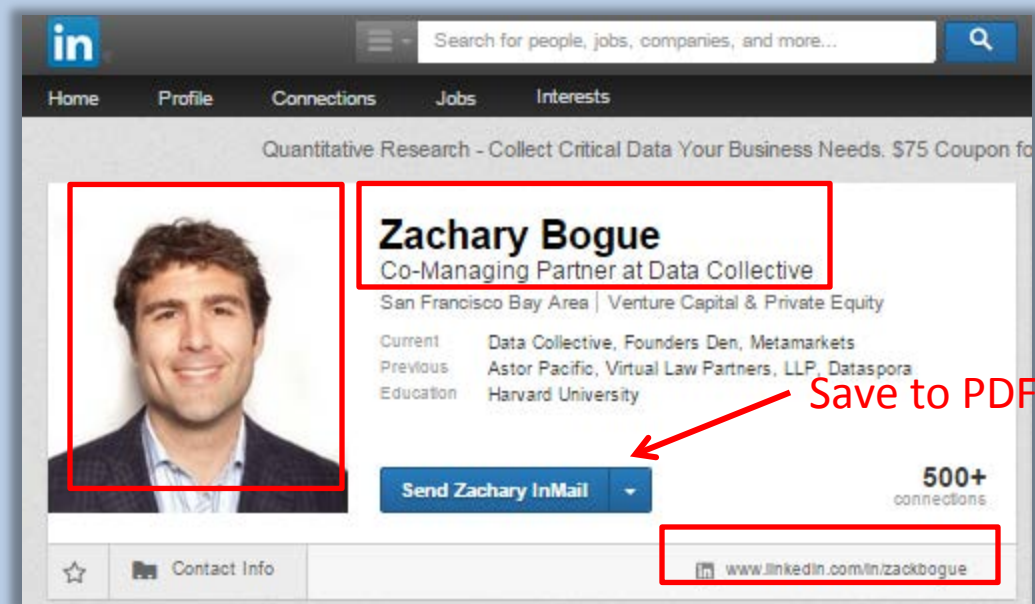
# Getting Past the LinkedIn “block”



If you are blocked out of a profile, try going to some of the “People Also Viewed” profiles in the lower right hand corner, and see if the profile of interest pops up in the “People Also Viewed” area of one of those.

(Another suggestion: If you have a specific individual in mind, try signing out of your LinkedIn account and doing a Google site search for the person: e.g. *susan q. person walmart site:linkedin.com*)





Develop an efficient system for saving *LinkedIn* profile information so you don't have to "re-find" it. 1. Save the profile PDF to a folder (it should be named). 2. Right-click and copy the name. 3. Right-click and save the photo (if wanted) to the same folder, naming with the text you just copied. 4. Paste the name into a spreadsheet. 5. Right-click, copy and paste the Title and profile URL into the same spreadsheet row.

# Facebook

- Graph Search > Use It!
  - Type into the search bar: “People named Susan Jones who live in Arkansas and work for Walmart and like Rage Against the Machine.”
  - Best way to learn what works is just to experiment.
- The “Keys” to Facebook Research
  - Friend lists (often unblocked)
  - Photos (often unblocked)
  - If at first you don’t succeed... relatives & friends

# Managing Facebook Info

- Like LinkedIn, bookmarking is not sufficient!
  - Copy and save profile address (URL)
  - Save/print friends list w/photos to PDF
  - Save photos individually – case by case
    - Name them meaningfully or they're lost for good
  - Copy and paste names, URLs, and other relevant info into Word doc or Excel spreadsheet
- Tip: Let all the friends/photos load before printing/saving, leaving

# Twitter

- If your subject uses Twitter, check:
  - Who they follow and who follows them
  - Look at their photos to see if you can learn about their social networks that way
  - Review their timeline for insights into p.o.v.
  - Experiment with Google searches on twitter

*joe smith site:twitter.com*

*joe smith honeywell site:twitter.com*

*Joe smith draperville site:twitter.com*

# Google Filetype Search

greg penner atherton **filetype:xls**

11, **Gregory**, Adkins, Cape Coral, FL, USA. 12, Todd, Aghazadeh ... 29, **Greg**, Alverson, Cincinnati, OH, USA ..... 1631, **Greg, Penner, Atherton**, CA, USA.

[XL.S] **Campaign Finance - FPPC Form 4 - City of Oakland**

<https://data.oaklandnet.com/views/3xq4-ermg/rows.xls?accessType...>

517, 1348353, Roseann Torres for Oakland School Board, 0, CTL, 01/31/2013, 07/01/2012, 12/31/2012, RCPT, A, X4VuCdRLnMTc, IND, **Penner, Greg, Atherton** ...

[XL.S] **70.3 Men - Vineman**

[www.vineman.com/Assets/Entrant+Lists/70.3+Participants+-+Men.xls](http://www.vineman.com/Assets/Entrant+Lists/70.3+Participants+-+Men.xls) ▼

23, Aarons, **Gregory**, 60, MALE, San Diego, CA, US .... 92, **Atherton**, Jim, 35, MALE, San Jose, CA, US ..... 1139, **Penner, Greg**, 43, MALE, **Atherton**, CA, US.

When you find people in spreadsheets, Word docs, Powerpoints, there may be useful information in those files.

This search revealed campaign contributions to a local school board and participation in an athletic event. These items might not have risen to the top of a plain Google search.

Could also search for...

**filetype:doc OR filetype:pdf OR filetype:ppt**



Takes COURAGE  
to Change Walmart



So a Google filetype search might turn up useful info that workers or allies can use in order to organize some outreach!





## CSC\_Donors\_Latest

↓ DOWNLOAD

 PRINT

You can also use sites like DocStoc or SlideShare to search for people in files online. I found new info about Walmart Board Vice Chairman Greg Penner in this spreadsheet on DocStoc.

Log In


0

 Tweet



 Share

0

 Share

 Email

Menu

.docstoc



1

/ 2



Full Screen

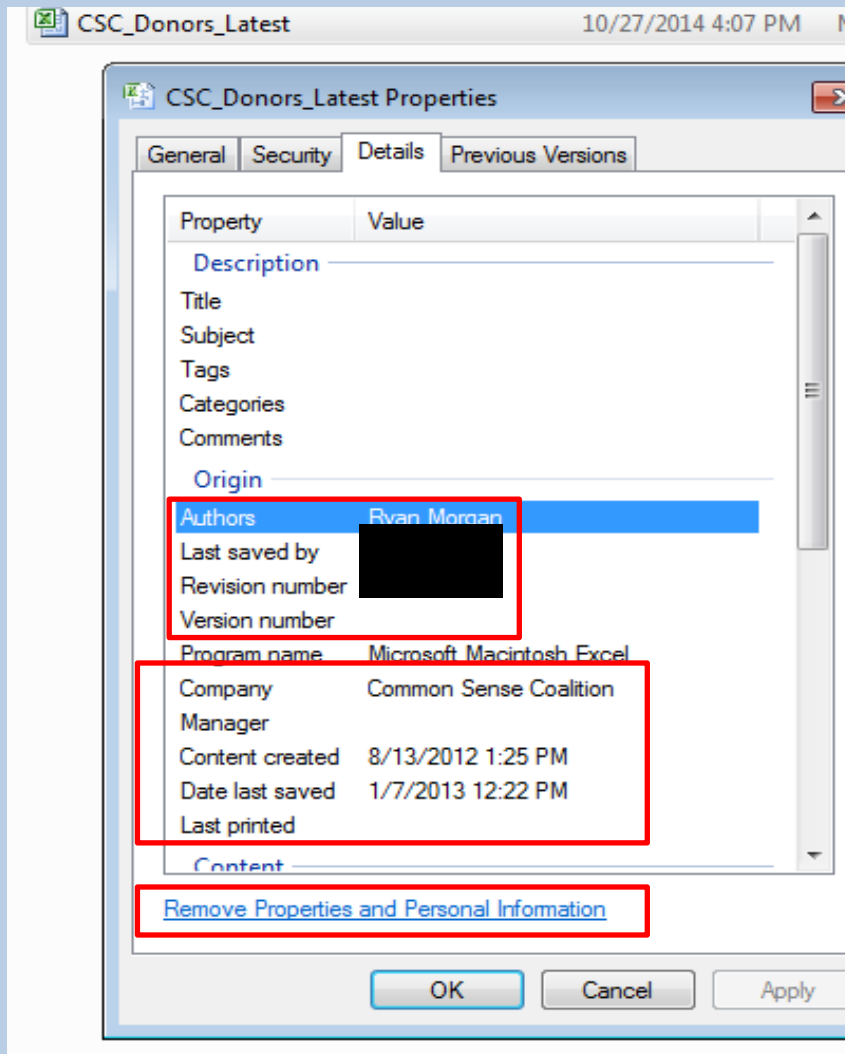


Download

Name	Amount	Type
Greg Orman	\$ 211,000.00	Founder
Thomas Layton	\$ 150,000.00	Founder
Charles Conn	\$ 100,000.00	Founder
Joe Gleberman	\$ 100,000.00	Board Member
Skip Battle	\$ 50,000.00	Board Member
Greg Penner	\$ 50,000.00	Board Member
Tim Ranzetta	\$ 10,000.00	Supporter
Lawrence H. Linden	\$ 10,000.00	Supporter
Mark T. Gates	\$ 10,000.00	Supporter
Stuart Cohen & Anne M. Lucas	\$ 5,000.00	Supporter
David Elyachar	\$ 2,500.00	Supporter
Anonymous	\$ 1,000.00	Supporter
David Johnson	\$ 1,000.00	Supporter
Laura Lauder	\$ 1,000.00	Supporter
Kipp Nelson	\$ 1,000.00	Supporter
Katherine G. Harbin	\$ 1,000.00	Supporter



# Using Document Properties



File searches may lead you to interesting documents with very little source information.

You may be able to use the file's document properties to learn more.

After downloading a file, don't change or re-save it. Right-click the file icon and go to the properties dialogue box.

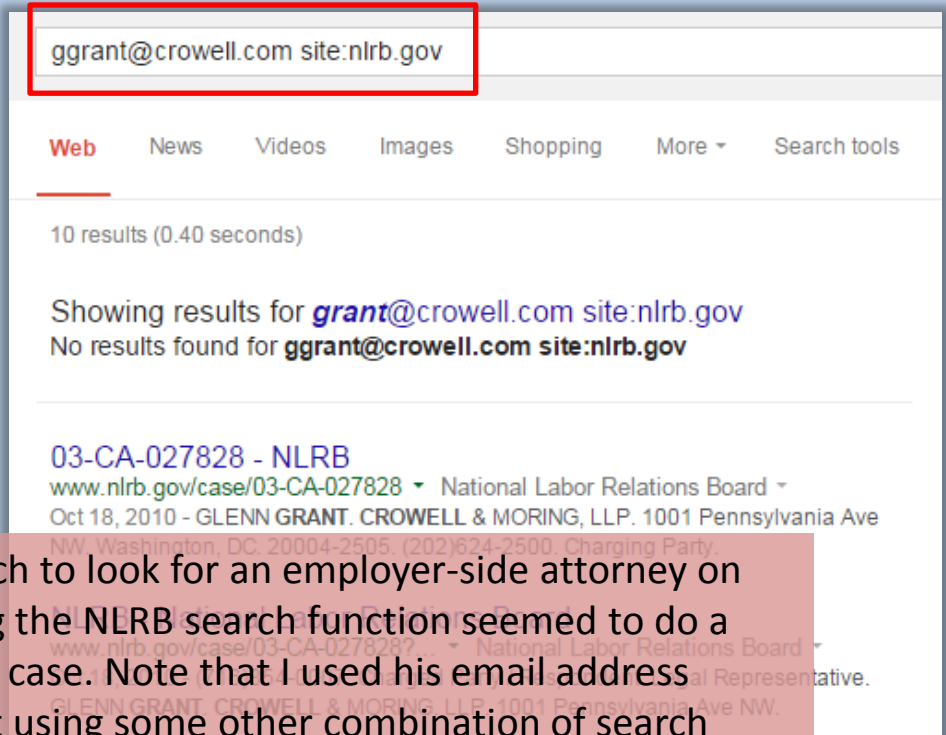
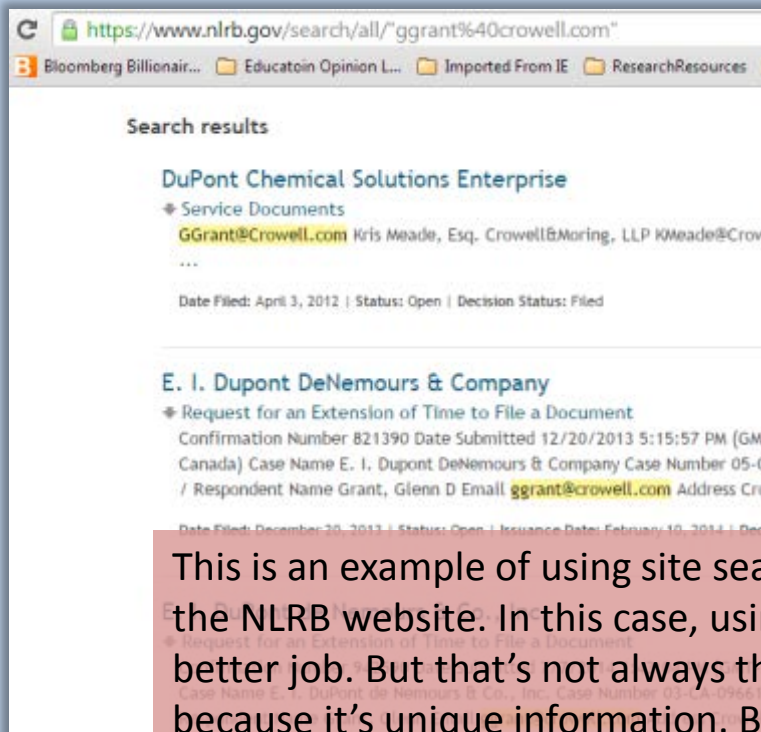
Here I learned that "CSC" in the file name stands for "Common Sense Coalition", *not* "China Scholarship Council."

CAUTION: Keep in mind that your files have properties, too! If a file is at all sensitive, you should remove the properties and save your file to a PDF before circulating.



# Google Site Search

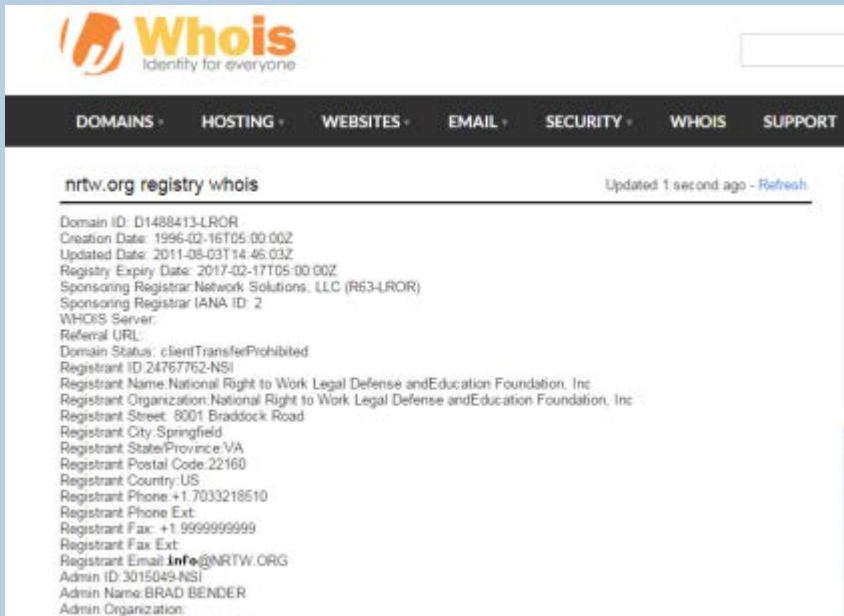
- Append the term **site:nlr.gov** (for example) to any other search.
  - Useful with *LinkedIn, Twitter, many others, and sometimes helpful with repository sites that have poor built-in search tools.*



This is an example of using site search to look for an employer-side attorney on the NLRB website. In this case, using the NLRB search function seemed to do a better job. But that's not always the case. Note that I used his email address because it's unique information. But using some other combination of search terms would produce different (maybe better) results. Experiment.

# Uncovering Online Identity

## Whois.com



Whois  
identity for everyone

DOMAINS • HOSTING • WEBSITES • EMAIL • SECURITY • WHOIS • SUPPORT

nrtw.org registry whois Updated 1 second ago - Refresh

Domain ID: D1488413-LROR  
Creation Date: 1996-02-16T05:00:00Z  
Updated Date: 2011-08-03T14:46:03Z  
Registry Expiry Date: 2017-02-17T05:00:00Z  
Sponsoring Registrar: Network Solutions, LLC (R63-LROR)  
Sponsoring Registrar IANA ID: 2  
WHOIS Server:  
Referral URL:  
Domain Status: clientTransferProhibited  
Registrant ID: 24767762-NSI  
Registrant Name: National Right to Work Legal Defense and Education Foundation, Inc.  
Registrant Organization: National Right to Work Legal Defense and Education Foundation, Inc.  
Registrant Street: 8001 Braddock Road  
Registrant City: Springfield  
Registrant State/Province: VA  
Registrant Postal Code: 22160  
Registrant Country: US  
Registrant Phone: +1 7033218610  
Registrant Phone Ext:  
Registrant Fax: +1 9999999999  
Registrant Fax Ext:  
Registrant Email: info@NRTW.ORG  
Admin ID: 3015045-NSI  
Admin Name: BRAD BENDER  
Admin Organization:

## Robtex.com



Which sites are similar to [www.nrtw.org](http://www.nrtw.org)?

[CAPITALRESEARCH.ORG](http://CAPITALRESEARCH.ORG), [NLPC.ORG](http://NLPC.ORG), [NRTWC.ORG](http://NRTWC.ORG), [WWW.NLRB.GOV](http://WWW.NLRB.GOV), [WWW.AAETDEFENDERSPROPRIGHTS.ORG](http://WWW.AAETDEFENDERSPROPRIGHTS.ORG), [WWW.EPF.ORG](http://WWW.EPF.ORG), [WWW.EPIONLINE.ORG](http://WWW.EPIONLINE.ORG), [www.nrtw.org](http://WWW.FU</a></p><p>Which IP numbers does <a href=) use?

[WWW.NRTW.ORG](http://WWW.NRTW.ORG) uses the IP number [209.68.8.53](http://209.68.8.53) only which also [| dns | last checked |
| --- | --- |
| \[defendersproprirights.org\]\(http://defendersproprirights.org\) | Fri May 30 10:12:06 2014\) |
| \[www.epionline.org\]\(http://www.epionline.org\) | Thu Jun 19 18:22:47 2014\) |
| \[fullemployment.org\]\(http://fullemployment.org\) | Sat Jun 28 10:50:04 2014\) |
| \[www.epf.org\]\(http://www.epf.org\) | Sat Jul 5 11:39:22 2014\) |
| \[www.psf.org\]\(http://www.psf.org\) | Fri Jul 18 12:21:04 2014\) |
| \[www.aclj.org\]\(http://www.aclj.org\) | Mon Jul 21 07:43:53 2014\) |
| \[\\\*righttowork.org\]\(http://\*righttowork.org\) | Tue Jul 22 05:24:24 2014\) |
| \[charybdis.nrtw.org\]\(http://charybdis.nrtw.org\) | Thu Jul 31 14:09:16 2014\) |
| \[scylla.nrtw.org\]\(http://scylla.nrtw.org\) | Tue Aug 26 20:08:49 2014\) |
| \[\\\*.nrtw.org\]\(http://\*.nrtw.org\) | Wed Aug 27 05:14:13 2014\) |

Employment Policies INSTITUTE

- Publications
- News Room
- Letters
- Search
- About Us
- Contact Us](http://SCYLLA.</a></p><p>NB</p><p>The oldest DNS info involved in this analysis were:</p><table border=)

To find out who is behind a website, try these websites. This information is often masked, but not always. Sometimes these tools turn up links between two or more online properties/organizations. The results on the right suggest a link between National Right to Work and the Economic Policies Institute (NOT our Economic Policy Institute) and some others.

# Political Money

- [Federal Election Commission](#)
- [Influence Explorer](#)
- [FollowtheMoney.Org](#)
  - National Institute on Money in State Politics
- [OpenSecrets.Org](#)
  - AKA Center for Responsive Politics

I generally avoid the FEC website because it's tough to navigate. But you can bulk download data there, which may be useful. *Influence Explorer* and *Open Secrets* have great federal-level data for campaign finance, lobbying, PACs, etc... *Followthemoney.org* has fantastic state-level data, and some local. All allow downloading results. Take some time to learn how to get the most out of the search functions. If you need very recent data quickly, though, you may want to go to the FEC or appropriate state-level source. For local campaign finance, there's no substitute for going to the local source.

[« Church and state and football at Ca...](#)[How ALEC slops legislative hogs to... »](#)

## ARKANSAS POLITICS **Jim Walton asks — and gets — return of Loy Mauch contribution**

Posted By [Max Brantley](#) on Fri, Oct 26, 2012 at 10:59 AM

Lance Morgan, a consultant to the **Walton family**, has written the *Arkansas Times* to share a letter billionaire banker **Jim Walton** wrote Monday to **Republican state Rep. Loy Mauch** asking for the return of his \$500 campaign contribution.

A Walton family spokesman said later that Mauch had returned the contribution. I've sought a comment from Mauch but haven't been able to reach him.

The *Arkansas Times*' reporting on Mauch's heavy financial support from Republican-friendly sources despite his well-known support of neo-Confederate causes drew the **attention of the UFCW**, which posted a call for Walton to repudiate Mauch, with the accompanying art work shown here. The letter:



**Meet Arkansas State Rep. Loy Mauch.** He thinks slavery wasn't so bad and Lincoln was a war criminal. *Really.*  
<http://bit.ly/SCZYNNk>

**Walmart Director Jim Walton contributed to Loy Mauch's 2012 re-election campaign.**

[www.walmart1percent.org](http://www.walmart1percent.org)

**NO LONGER WITH STUPID:** Walton asks Mauch for money back.

We got a rise out of Jim Walton by [publicizing](#) his support for a neo-confederate Arkansas state rep, when the (now-ex) rep's obnoxious statements made the news. To get the most recent filings we had to go to the Arkansas Secretary of State and search through a bunch of PDFs. Totally worth it.

Note: Get a utility that converts scanned PDFs to text. Unless the original is real clean it won't work perfectly. But it will still make searching through scanned PDFs much easier.

# Walmart PAC, Walton Family Political Contributions Favor Conservatives: Report

The Huffington Post | By Jillian Berman



Posted: 06/18/2013 7:23 pm EDT | Updated: 06/18/2013 7:44 pm EDT



Log In

634

148

3

25

484



Share



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Comment

Walmart's PAC and the heirs to the company's fortune are spending millions to influence the political process -- and their money is often going to boost conservative candidates and causes, according to claims by a union-backed coalition pushing for more rights for Walmart workers.

One of my colleagues crunches the campaign finance data to come up with [great blog posts and reports](#) on Walton and Walmart political giving.

# FOIA

- Reporters Committee for Freedom of the Press has fantastic online resources
  - Federal Open Government Guide:  
<http://www.rcfp.org/federal-open-government-guide>
  - State Open Government Guides:  
<http://www.rcfp.org/open-government-guide>
  - Police Records - State by State Guide:  
<http://www.rcfp.org/access-police-records>
- We are always putting some thought into what *else* we can FOIA for that might be useful. Be creative: Arrest records (and video, if it exists); flight records (see below); any contracts with public entities, including schools and universities...



# Alice Walton

9<sup>th</sup> Richest American. Worth \$35 Billion.  
Her arrest records were subject to FOIA.



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## NWAonline

Home News Sports Opinion Business Features Photos Videos Weeklies Blogs

 Care where you are.  
Welcome to [Mercy Clinic](#). [learn more](#)

### Police video shows Walton arrest

By Courtesy Parker County, Texas prosecutor's office  
November 9, 2013



Police dash video shows the Oct. 7, 2011 arrest of Alice Walton on a charge of driving while intoxicated.



# FINRA Broker Check

(Financial Industry Regulatory Authority)

The screenshot shows the FINRA BrokerCheck website for the firm THE WILLIAMS CAPITAL GROUP, L.P. The browser address bar shows the URL: [brokercheck.finra.org/Firm/Summary/35149](http://brokercheck.finra.org/Firm/Summary/35149). The FINRA logo is in the top left. The page has a blue header with 'Investors' and 'Tools & Calculators'. Below the header is a red navigation bar with 'Protect Yourself', 'Smart Investing', and 'Market Data'. A link to 'Back to search results' is visible. The main section is titled 'BrokerCheck®' and 'Brokerage Firm Summary'. It displays the firm name 'THE WILLIAMS CAPITAL GROUP, L.P.', CRD# 35149, SEC# 8-46623, and a 'Brokerage Firm' status with a checkmark. A red button labeled 'Get Detailed Report »' is present. Below this is a 'Disclosure Events' section with a table showing 3 Regulatory Events. At the bottom is a 'Firm Profile' section with a table containing office location, mailing address, and business telephone number. A large, diagonal purple watermark reading 'brokercheck.finra.org' is overlaid across the center of the page.

Type	Count
Regulatory Event	3

Main Office Location	Mailing Address	Business Telephone Number
650 FIFTH AVENUE 11TH FLOOR NEW YORK, NY 10019	650 FIFTH AVENUE 11TH FLOOR NEW YORK, NY 10019	212-830-4559

Take a trip to this website if you are dealing with a financial professional (broker, investment banker, etc.) who may be subject to regulation by FINRA. We found some “regulatory events” related to the firm of ex-Walmart BOD Christopher Williams.

# Welcome to the Williams Capital Wiki

Share       

Join the Williams Capital Wiki Email List: [Send an email with "subscribe" in the subject.](#)

Follow Williams Capital Wiki on [Twitter](#).

Check out our [latest blog post](#) about Williams Capital trying to block the release of public information to the WCG Wiki.



## About This Wiki:

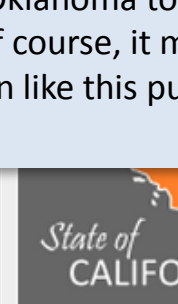
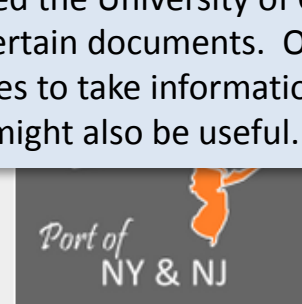
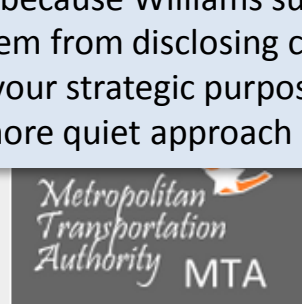
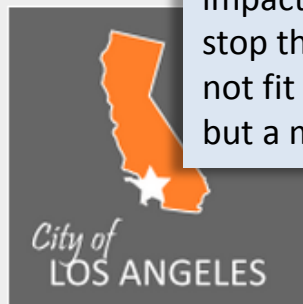
Williams Capital Wiki is a project of the Walmart 1%. We began researching Mr. Williams because of his role in the process, however, we came to believe that his work at Williams Capital and elsewhere also merited public scrutiny.

We encourage you to [submit additional information and documents to this site](#), as appropriate.

Information should be kept accurate and avoided. Each user is responsible for their own contributions.

to act as fact checkers. If you identify things that are incorrect, please contact us.

To date, most information posted on this site has been obtained through Freedom of Information Act Requests. Here are links to some of the requests:



Williams was already having issues because of criticism over his stewardship of Walmart's Audit Committee. One of my colleagues used online research and FOIA requests to obtain records pertaining to Williams' business deals with a whole bunch of public institutions and we turned it into a Wiki where we also discussed the FINRA-related "regulatory events." This evidently had an impact because Williams sued the University of Oklahoma to try to stop them from disclosing certain documents. Of course, it may not fit your strategic purposes to take information like this public, but a more quiet approach might also be useful.

# Private Funds and Companies

- Websites
  - [Crunchbase](#)
  - [FormDs](#)
- News Sources
  - [Venture Beat](#)
  - [Deal Book \(NYT\)](#)
  - [Venture Wire \(\\$\)](#)
- Consultancy Reports
  - [e.g. E&Y Private Equity page](#)

The screenshot displays the CrunchBase interface for Madrone Capital Partners. The header includes the CrunchBase logo and a search bar. Below the header, the organization's name is prominently displayed. A tabbed interface shows 'Info' and 'Section' tabs. A blue callout box highlights the website's utility for tracking startup and venture capital information. The main content area lists investments, including Progreso Financiero, Enphase Energy, and Achatas Power. Another blue callout box explains the use of FormDs.com for searching SEC filings. The bottom of the page shows 'Investor Details' and a description of the organization.

CrunchBase

Search

Madrone Capital Partners

Info Section

Great website for tracking the startup and venture capital worlds, including detailed information on investments in private companies and their leadership

Description: Not much is known about Madrone Capital Partners.

Investor Details

Type:

Sectors:

Not much is known about Madrone Capital Partners.

FormDs.Com makes it easy to search for the SEC form filed by private funds and companies when they go out for financing. You can also search at the SEC, or try a Google filetype search (e.g. Form D Madrone Capital filetype:pdf)

www.crunchbase.com/organization/madrone-capital-partners

CrunchBase

Search

All Investments made by Madrone Capital Partners

Progreso Financiero

Enphase Energy

Achatas Power

More than this article with Rob Walton, the

# Progreso Financiero Holdings, Inc.

**Industry** Other Banking and Financial Services (See Other Companies in Industry)

171 Constitution Drive  
Menlo Park, CA, 94025  
Phone: (650) 391-0217

Filings		
Date	Filing Type	Offered
2013-09-10		
2013-09-10		
2013-07-16		
2013-02-11		
2012-07-03		
2012-07-03		
2012-05-21	New Form D	Offered: \$3,000,000
2012-01-09	New Form D	Offered: \$40,000,000

Directors and Executives (Current and Former)		
Name	Role	Address
Aida Alvarez	Director	C/O Progreso Financiero Dr. Menlo Park, CA, 94104
Jonathan Coblentz	Executive	Progreso Financiero Holding Menlo Park, CA, 94025

Form Ds confirm the connections between the Walton Family, Walmart and a privately-held company called Progreso Financiero. They also show us who is co-investing with the Waltons.

Walmart Board

Madrone Capital Partners manages Walton family wealth.

Former Walmart EVP

Saar Gur	Director	C/O Charles River Ventures 2882 S Menlo Park, CA, 94025
James Gutierrez	Director, Executive	171 Constitution Drive Menlo Park, CA, 94025
	Executive	Progreso Financiero Holdings, Inc Menlo Park, CA, 94025
	Director	C/O Institutional Venture Partners Bldg 2, Ste 250 Menlo Park, CA, 94025
	Director	C/O Tpg Capital, L.P. 345 Cal San Francisco, CA, 94104
Carl Pascarella	Director	C/O Madrone Partners 3000 Menlo Park, CA, 94104
David Strohm	Director	C/O Greylock Partners 2250 Menlo Park, CA, 94025
David Tomlinson	Director, Executive	Progreso Financiero Holding Menlo Park, CA, 94025
Raul Vasquez	Director, Executive	Progreso Financiero Holding Menlo Park, CA, 94025

# Getting the Basics from Public Records

- Paid Aggregators
  - [LexisNexis](#)
  - [Westlaw](#)
- No subscription
  - Private investigator?
- Online Public Records Directories
  - [NETROnline](#)
  - [AllFreeRecords](#)
  - [BRB Pub.com](#)

*Warning: Pay services linked from these sites may not have your best interests at heart.*

We get much of our basic profile information from public records: Real estate ownership and transactions, address history, business licenses and filings, UCC filings, voter registration and voting history, sometimes phone #s, sometimes lists of relatives (Note: Wealthy people tend to form LLCs and stick their assets in those. The connection between individuals and LLCs is not easy to determine. Look for common addresses and when you have a good address try to identify every entity attached to it. Paid aggregators make public records work a LOT easier by connecting data from multiple sources and jurisdictions. But if you don't have access to something like Lexis, and if your needs are relatively localized, you can get pretty far with directly accessing online public records. The directors listed here are pretty extensive.

# The Challenge of Public Records

- Problem: Multiple jurisdictions  
(That's why we pay aggregators)
- Typical locations
  - Real estate – County level
    - Real estate sites like Zillow can be helpful
  - Business filings – Secretary of State
  - Vital records – Clerk of the Court / Recorder, etc.
- You can go in person when necessary!



# Rich People of Walmart

keepin' up with the Walmart 1 Percent.



## FINE FOLK



## FIND ME



20  
MAR

## walton house tour! stop #2



Stop #2 on the Walton family house tour: Carrie and Greg Penner's palatial estate in exclusive Atherton, CA. The nearly 13,000-square-foot home, valued at a cool \$20.6 million, sits on six acres. It has six bedrooms, four bathrooms, a five-car garage, and, as you can see, a pool and tennis court.

While the Penners lounge poolside, many Walmart associates struggle just to pay their rent and rely on state-funded healthcare for their children.

We know from public records that this Walton estate is worth \$20.6M.

1 YEAR AGO + SHORT URL ∞

carrie penner / greg penner / \$20 million mansions / displays of wealth / house tour / waltons luxuriate while walmart associates are in poverty

# Legal Research

- Premium
  - Lexis (\$)
  - Westlaw (\$)
  - [PACER](#) (\$)
    - U.S. district, bankruptcy, and appellate courts
- LegalDockets.Com
  - [LegalDockets.com](https://www.legaldockets.com)
  - [Class Action Links](#)
  - [Lawyer Look-Up](#)  
*Directory to court websites at multiple levels and jurisdictions and also to some pay services*

Any legal activity is potentially relevant or informative. If you've stepped into court as a plaintiff or a defendant, as a party to a bankruptcy, etc. we want to know. On the other hand, unless we know what we're looking for it can be tough to find, depending on the jurisdiction. Commercial services make this work much easier. But LegalDockets has an extensive directory of links to free and paid resources.



# Individuals Affiliated with Public Companies

- [SEC Filings](#)
  - 10-K
  - DEF 14A (Proxy)
  - SEC Form 4
- 3<sup>rd</sup> Party Aggregators
  - e.g. [Yahoo Finance](#)
- Bloomberg, Forbes
- Company website
  - Annual Reports, Press Releases, SEC Filings
- What you'll find
  - General bio
    - Including directorships on public and private companies and non-profits
  - Compensation of directors and key executives
  - Share ownership and transactions of directors, insiders, major owners
  - Calculate dividends



Unfortunately, most shareholders don't own enough stock in a particular company in order for their stake to be subject to mandatory disclosure. Not so the Waltons. We used information obtained from SEC filings to calculate Walmart dividends received by the Waltons over time and compare that to their contributions to the Walton Family Foundation. The contribution data was obtained from the Foundation's annual tax returns, on IRS Form 990-PF). See: [PhonyPhilanthropy](#)

# Building the Web

WMT connection							
A	B	C	D	E	F	G	
WMT connection	Relationship	Salutation	First	Middle Initial	Last	Title	Organization
Greg Penner	Baidu, Inc.	Mr.	Robin		Li	Co-Founder, Chairman and Chief Executive Officer	Baidu, Inc.
Greg Penner	Baidu, Inc.	Mr.	James		Ding	Independent Director	Baidu, Inc.
Greg Penner	Baidu, Inc.	Mr.	Nobuyuki		Idei	Founder and Chief Executive Officer	Quantum Leaps
Greg Penner	Baidu, Inc.	Mr.	William		Decker	Director	VisionChina Media
Greg Penner	Charter School Growth Fund	Mr.	John		Fisher	President	Pisces, Inc.
Greg Penner	DT Capital Partners	Dr.	Jun		Zhao	Managing Partner	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Gavin		Xu	Director	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Kevin		Yu	Venture Partner	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Guoxiang		Sun	Venture Partner	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Nong		Li	Managing Partner	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Xiaolu		Sun	Director	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Jason		Xu	Director	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Jeff		Zhang	Director	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Jun		Shaw	Managing Partner	DT Capital Partners
Greg Penner	DT Capital Partners	Mr.	Lixin		Tian	Managing Partner	DT Capital Partners
Greg Penner							capital Partners
Greg Penner							capital Partners
Greg Penner							capital Partners
Greg Penner							capital Partners
Greg Penner							capital Partners
Greg Penner							nony, Inc.
Greg Penner							nology Cross
Greg Penner							nony, Inc.
Greg Penner							Hotels Co
Greg Penner	Hyatt Hotels Corporation	Mr.	Mark	S.	Hoplamagian	President, Chief Executive Officer and Director	Hyatt Hotels Corporation
Greg Penner	Hyatt Hotels Corporation	Mr.	Bernard	W.	Aronson	Founder and Managing Partner	ACON Investments
Greg Penner	Hyatt Hotels Corporation	Mr.	Richard	A.	Friedman	Managing Director and Head of Merchant Banking	Goldman Sachs

# What we've got so far...

- Depending on who our subject is:
  - Address, maybe other contact info
  - Basic bio
  - Real estate and major assets
  - Business and social networks
  - Legal activity
  - Political activity
  - We're tracking them as best we can
- What's more can we do?

For the wealthy, “philanthropy” is becoming another way to engage in politics, manage their image, and (sometimes) dodge taxes.

# Philanthropy

## Accessing tax returns for charitable organizations

[Economic Research Institute](#) Free online access to [IRS Form 990](#) for multiple years, beginning around 2001/2

[CitizenAudit.Org](#) (Partial \$) A website that makes 990s as old as 1999 available to the public. Building useful text searching features.

By Direct Request Foundations and charitable trusts are required to provide, within 30 days, certain documents, including the most recent 3 years of IRS Form 990 to any member of the public who requests them.

IRS Information Request via [Form 4506-A](#) To request up to 7 years of 990s, the original exemption and accompanying documents, and the IRS determination letter from the IRS. Response time uncertain.

[IRS Form 5227](#), the tax return for (tax-dodging) Charitable Lead Annuity Trusts, is also available by information request under similar circumstances. Also, CLATs can be almost impossible (by design) to find.

Older Private Foundation returns may be available from the [Foundation Center Historical Foundation Collection](#) at Indiana university-Purdue.

# Charity or Tax Dodge?

## OVERVIEW The Phony Philanthropy of the Walmart Heirs

Name	Notes	Net Worth (2/2014) <sup>A</sup>	Contributions to Walton Family Foundation <sup>B</sup>	% of Net Worth Contributed	% of Total Contributions to the Foundation	Last Contribution
Rob Walton	Walmart Chairman Co-owner, Arvest Bank	\$34.2B	ZERO	ZERO	ZERO	Never
Alice Walton	Owner, Rocking W Ranch Former investment banker	\$34.3B	ZERO	ZERO	ZERO	Never
Jim Walton	Co-owner & CEO, Arvest Bank; Walmart Director	\$34.7B	\$3M	.01%	0.06%	1998
Walton Enterprises, LLC	Family holding company controlled by Rob, Jim, and Alice; Owns 1.6B Walmart shares	N/A	\$3.4M	N/A	0.07%	2005
Christy Walton <sup>C</sup>	Widow of John Walton (Inherited John's interest in Walton Enterprises)	\$36.7B	\$52.02M	.14%	1.07%	2012
<b>TOTAL</b>		<b>\$139.9B</b>	<b>\$58.5 M</b>	<b>.04%</b>	<b>1.21%</b>	<b>N/A</b>

**Table 1.** Overview: The Phony Philanthropy of the Walmart Heirs

<sup>A</sup> *Forbes*, "The World's Billionaires," (Retrieved March 15, 2014). [www.forbes.com/billionaires/list/#tab:overall\\_search:walton](http://www.forbes.com/billionaires/list/#tab:overall_search:walton)

<sup>B</sup> Contributions derived from Walton Family Foundation annual tax returns (IRS Form 990-PF); excludes the years 1987, 1994, and 1995, for which we were unable to obtain tax returns; activity of the Foundation in its founding year, 1987, was minimal.

<sup>C</sup> Includes contributions by Christy's late husband, John, and her son, Lukas.

Private foundations (directed and primarily funded by a particular entity or group) must disclose grants and contributions (IRS Form 990-PF). Public foundations have to disclose grants but not funding sources (IRS Form 990). Both disclose a significant amount of financial information on their 990s.

For methodology, see the report at: <http://Walmart1Percent.Org/PhonyPhilanthropy>



**NEWS** **VIDEO** **PEOPLE** **VOICES** **SPORT** **TECH** **LIFE** **PROPERTY** **ARTS + ENTS** **TRAVEL** **MON**

UK ▾ / [World](#) ▾ / Business ▾ / People / Science / Environment ▾ / Media ▾ / Technology / Education ▾ / Images / Obitu

News > World > Americas

## Walmart heirs under fire over 'phony' charity



Activists accuse retail family of giving only 0.04 per cent of vast wealth to Walton Family Foundation

Taking the time to work through two decades of data available from public sources (primarily Foundation IRS returns) allowed us to tell a new and powerful story.



Beyond the basics, knowing what the subject *cares* about can provide opportunities.



This is Rob Walton's car collection.

**What do they really care about?**

To find opportunities, track hobbies, habits, and events.  
Use Google/Bing Alerts.

## Racers Drive

Motorsports Marketing Management

Home News Story

Home - Welcome to Racers Drive Blog About Us Services Teams Racers

[- Road Kill Stories - You have to love NASCAR](#)

[Grand Am Qualifying Results from Kansas where Tagliani and Siegel claim the Pole in GT -](#)

### Walmart/Anti Rob Walton Protest in Monterey on Saturday

Don't go through Salinas tomorrow on your way to Monterey! See Below Announcement from a group protesting Walmart policies and Rob Walton's Lifestyle.

This is BS!

## Walmart board chairman, in Monterey for Classic Car Week, draws protests

Heir races at Laguna Seca

By DENNIS TAYLOR  
Herald Staff Writer

POSTED: 08/17/2013 08:53:23 PM PDT | UPDATED: ABOUT A YEAR AGO

9 COMMENTS

S. Robson Walton, the 17th richest man in the world, was at Mazda Raceway Laguna Seca this week, racing four of his sleek, expensive automobiles.

Meanwhile, about a dozen people staged two separate demonstrations Saturday — one in Salinas, the other near the

Click photo to enlarge



# Rob Walton likes to race in Monterey.



A few bonus slides

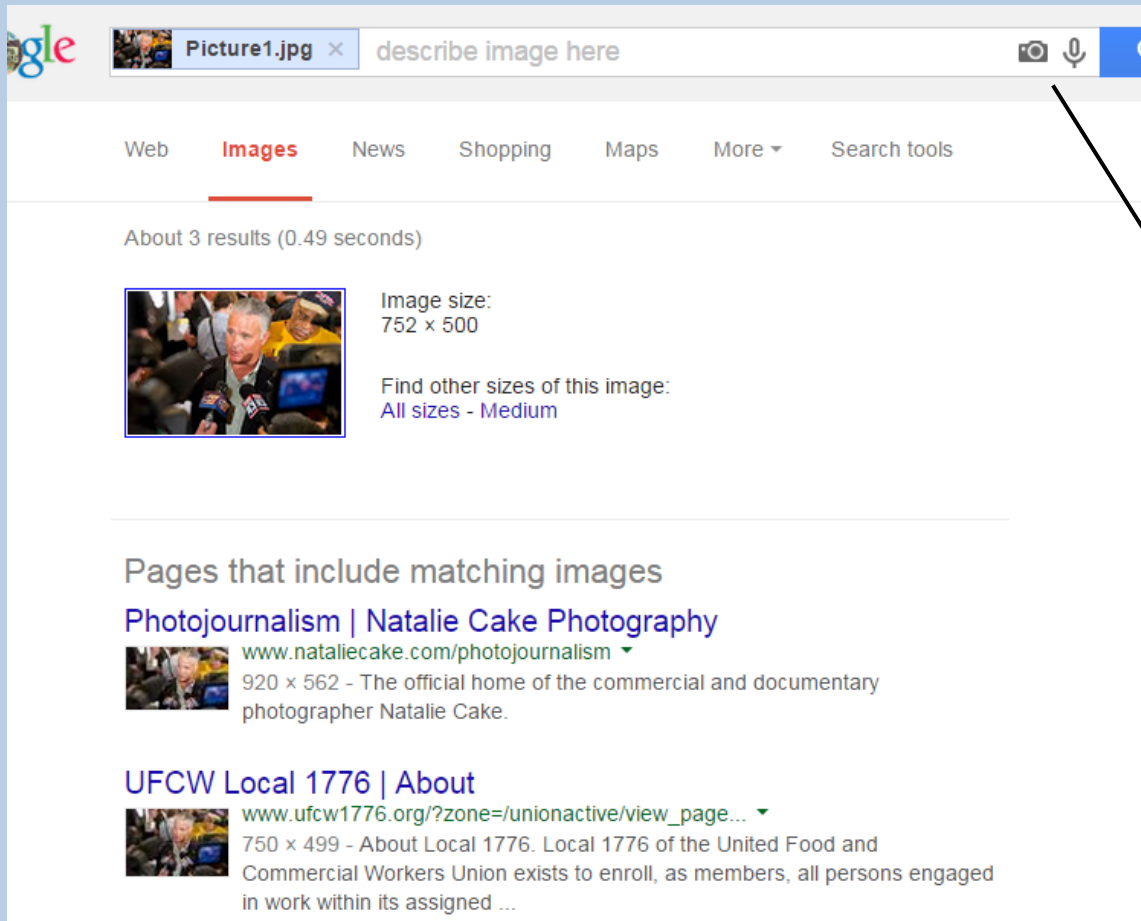


# Web-based Photo Research



H/T to to M. Romanov

# Google Image Search



Google image search can turn up lots of interesting results.

You can also use it to research a specific photo. In Google image search, click the camera icon and upload a photo or paste in the photo's URL.

# Extracting Other Info from Photos

<http://www.verexif.com>

<http://regex.info>

www.verexif.com/en/ver.php?foto\_url=http://SA%2F%2Dwww.utw1276.org%2F%2520in%2520Capitol.jpg

comberg Billenai... Education Opinion L... Imported From IE ResearchResources New York Walnut-New Retail Apts Freed Bodywork

Home [admin@verexif.com](mailto:admin@verexif.com)

## VIEW AND REMOVE EXIF ONLINE

Check and remove Exif data online


### Cameras & Accessories B&H

Nikon Canon Sony Panasonic Dealer. Lowest Price, Top Rated, PayPal

#### EXIF DATA

Camera make :	NIKON CORPORATION
Camera model :	NIKON D3S
Date/Time :	2011:07:13 14:25:55
Resolution :	750 x 499
Flash used :	No
Focal length :	50.0mm (35mm equivalent 50mm)
Exposure time :	0.0063 s (1/160)
Aperture :	f/4.0
Focus dist. :	1.50m
ISO equiv. :	3200
Whitebalance :	Manual
Light Source :	Incandescent
Metering Mode :	pattern
Exposure :	Manual
Exposure Mode :	Manual

There is no GPS info



[Remove Exif](#) [Another image](#)

Share this link  
[http://www.verexif.com/ver.php?foto\\_url=http://3A52F32Fwww.ufcw176.org%2F%2520in%2520Capitol.jpg](http://www.verexif.com/ver.php?foto_url=http://3A52F32Fwww.ufcw176.org%2F%2520in%2520Capitol.jpg)

## Jeffrey's Exif Viewer

[\[CLEAR IMAGE\]](#)

☐ From Web ☐ From File Image URL:  [View image At URL](#)

### Basic Image Information

Target image: <http://www.ufcw176.org/TV%20in%20Capitol.jpg>

Artist:	Natalie Coker Contact: <a href="mailto:NatalieCoker@comcast.net">NatalieCoker@comcast.net</a>
Copyright:	Natalie Coker 2011
Camera:	Nikon D3S
Lens:	24-70 mm f/2.8 Shot at 50 mm
Exposure:	Manual exposure, 1/160 sec, f/4, ISO 3200
Flash:	none
Focus:	At 1.5m, with a depth of field of about 21cm, (from about 10cm before the focus point to about 11cm after)
Date:	July 13, 2011 2:35:55PM (timezone not specified) (7 years, 3 months, 13 days, 18 hours, 44 minutes, 13 seconds ago, assuming image timezone of US Pacific)
Location:	Harrisburg, PA
File:	499 x 750 JPEG
Color Encoding:	<b>WARNING:</b> Embedded color profile: "AdobeRGB" Some popular web browsers ignore embedded color profiles, meaning users of those browsers see the wrong colors for this image. <b>STRANGE:</b> The embedded color profile differs from the metadata tags (sRGB (EXIF ColorSpace)). Images for the web are most widely viewable often in the sRGB color space and with an embedded color profile. See any <a href="#">Introduction to Digital Image Color Spaces</a> for more information.

Apply other tools to this image via [ImgOps.com](#)



Extracted 256 x 170 15-kilobyte "Photograph"  
Displayed here at 100% (12% the area of the original)

[Click image to isolate, click this text to show histogram](#)



Extracted 160 x 106 9.7-kilobyte "Composite"  
Displayed here at 200% (18% the area of the original)

[Click image to isolate, click this text to show histogram](#)

Jeffrey F...  
[None](#), [extra the](#), [Facebook](#) or [as...](#)  
[Some of my a](#), [My Blog](#), [Photo Test](#)

Also try <http://www.tineye.com> which can sometimes identify individuals in a photo



# Aircraft Tracking

- Find a plane at the [FAA Registry](#)
- Grab the plane's N (tail) number from the registry and plug it in to a tracker like <http://flightaware.com/>
- Note: Owners can block live-tracking, but past travel is subject to FOIA. See this *WSJ* feature: <http://projects.wsj.com/jettracker/>

# Employer Lawyers/Reps/Consultants

- Paid services – BNA, Lexis others get you some
- [DOL OLMS – LM20](#) (consultant reports - PDF)
  - Clunky interface, not very searchable but...
- [NLRB Case Search](#)  
Can search for attorneys across cases.  
Use the page's search feature (not so hot) and/or Google site search.  
Example: joeunionbuster@yahoo.com **site:nlr.gov**
- [FMCS F-7 Filings \(Monthly spreadsheets, PITA\)](#)  
Try a Google filetype AND site search, with and w/out quotes.  
Example: "Joe Unionbuster" **filetype:xls site:fmcs.gov**

As always with Google... instead of a name (which may get way too many hits) you can search on an email or even a regular address, or use other less common terms. You can also exclude bad results by adding more specific search terms like company/firm name. Try searching with the terms in quotes and out.