

NAME SEARCHED: [REDACTED]

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below.

Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	☒ No Hit ☐ Not Required ☐ Hit	I. RDC Results	No RDC alert (Please see attached)
PCR	☒ No Hit ☐ Not Required ☐ Hit	II. PCR Results	No PCR alert (Please see attached)
BIS	☐ Yes ☒ No ☐ Not Required	III. Negative Media	There was no information found
		IV. Non-Negative Media	There was no information found
		V. Other Language Media	Not Required
D&B	Results? ☐ Yes ☐ No ☒ Not Required	VI. D&B	Not Required
Smartlinx	Results? ☐ Yes ☒ No ☐ Not Required	VII. Smartlinx	There was no information found
Court Cases	☐ Review by Legal May be Required ☒ No Results ☐ Search not required	VIII. Court Cases	There was no information found

Prepared by: Prachi Pawa Date: 11/13/2014

Research Analyst

Instructions:

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbellhttp://www.martindale.com/xp/Martindale/home.xml](http://www.martindale.com/xp/Martindale/home.xml)
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

For internal use only

SDNY_GM_00064967

OFAC RESULTS

RDC:

11563554 No Match Found DBOI 8756944 [REDACTED] Country:United States Date of Birth: [REDACTED]

PCR:

C20141124308121 [REDACTED] 8756944 NCA customised Auto-Closed No-Hit 13/11/2014

BIS RESULTS

Negative Media:

There was no information found

Non-Negative Media:

There was no information found

Other Language Media:

There was no information found

Public Records:

There was no information found

D&B:

There was no information found

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SDNY_GM_00064968

LEGAL RESULTS:

Court Cases:

There was no information found

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SDNY_GM_00064969

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CONFIDENTIAL

DB-SDNY-0027794
EFTA_00175469

EFTA01299214