

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	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	I. RDC Results	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. PCR Results	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. D&B	Not Required
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	Result Found (Please see attached)
Court Cases	<input type="checkbox"/> Review by Legal May be Required <input checked="" type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. Court Cases	There was no information found

Prepared by: Prachi Pawa Date: 10/12/2016
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_00057126

OFAC RESULTS

RDC:

11593655 No Match Found GCIS 00000483290  Country: United States

PCR:

C20161034947834  12013242 NCA customised Auto-Closed No-Hit 12/10/2016

BIS RESULTS

Negative Media:



There was no information found

Non-Negative Media:

There was no information found

Other Language Media:

Not Required

Public Records:

1 OF 2 RECORD(S)

FOR INFORMATIONAL PURPOSES ONLY
Copyright 2016 LexisNexis
a division of Reed Elsevier Inc. All Rights Reserved.

Date: 10/12/2016
Report processed by:

For internal use only

SDNY_GM_00057127

CONFIDENTIAL
CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0019951
EFTA_00167695

EFTA01295829

DEUTSCHE BANK AG||

Full Name

[REDACTED]

Address

[REDACTED]

County

NEW YORK

Phone

None Listed

ADDITIONAL PERSONAL INFORMATION

SSN

DOB

Gender

LexID(sm)

190935148139

Subject Summary

Name Variations

1:

[REDACTED]

DOBs

Reported DOBs:

3/1995

Possible E-Mail Addresses

[REDACTED]

Others Using SSN - 0 records found

Address Summary - 1 records found

No. Address

1:

[REDACTED]

Address Details

1:

Address

[REDACTED]

Dates

3/2013 - 10/2016

Phone

Census Data for Geographical Region

Median Head of Household Age: 57

Median Income: \$0

Median Home Value: \$0

Median Education: 6 years

Household Members

[REDACTED]

Other Associates

None Listed

Voter Registrations - 3 records found

1: New York Voter Registration

Name:

[REDACTED] Information

Residential Address:

[REDACTED]

Date of Birth:

Gender: Female

Voter Information

For internal use only

SDNY_GM_00057128

CONFIDENTIAL

Registration Date: 9/27/2013
Party Affiliation: NONE DECLARED
Active Status: ACTIVE

2: Massachusetts Voter Registration

Registrant Information
Name: [REDACTED]
Residential Address: [REDACTED]
Date of Birth: [REDACTED]
Occupation: STUDENT
Voter Information

3: Massachusetts Voter Registration

Registrant Information
Name: [REDACTED]
Residential Address: [REDACTED]
Date of Birth: [REDACTED]
Occupation: STUDENT
Voter Information

- Driver Licenses - 0 records found
- Professional Licenses - 0 records found
- Health Care Providers - 0 records found
- Health Care Sanctions - 0 records found
- Pilot Licenses - 0 records found
- Sport Licenses - 0 records found
- Real Property - 0 records found
- Motor Vehicle Registrations - 0 records found
- Boats - 0 records found
- Aircraft - 0 records found
- Bankruptcy Information - 0 records found
- Judgments/Liens - 0 records found
- UCC Liens - 0 records found
- Fictitious Businesses - 0 records found
- Notice Of Defaults - 0 records found
- Potential Relatives - 10 records found

1st Degree: 5, 2nd Degree: 5

No.	Full Name	Address/Phone
1.	[REDACTED]	[REDACTED]

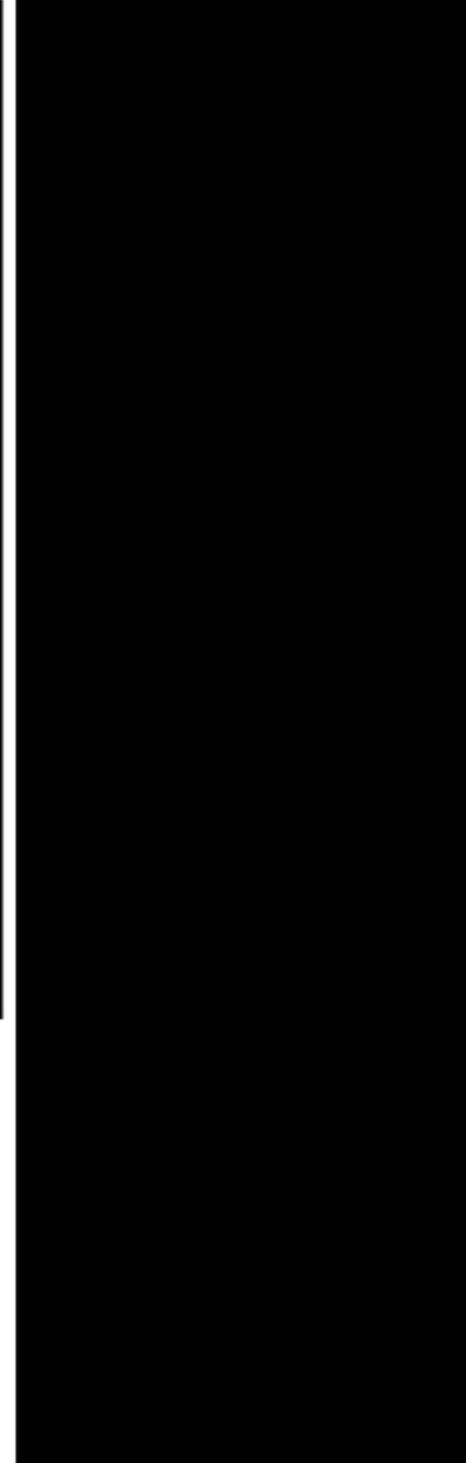
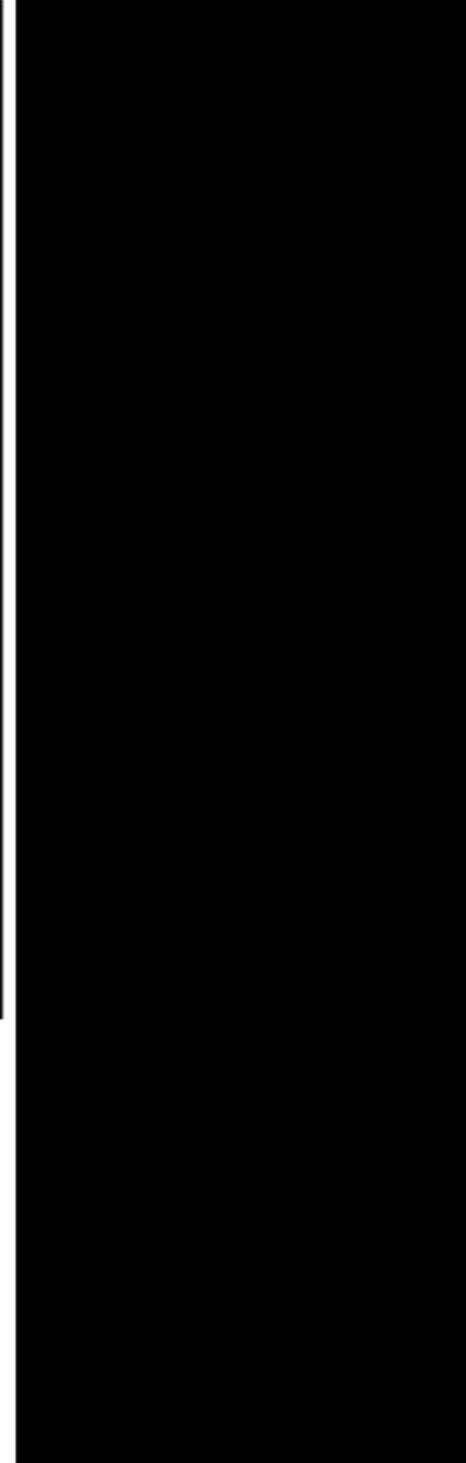
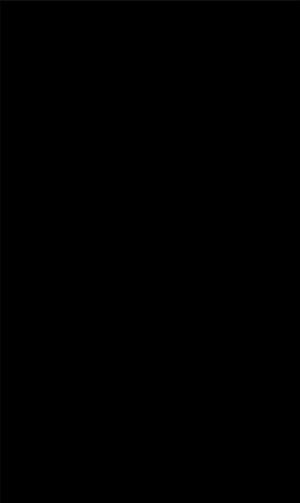
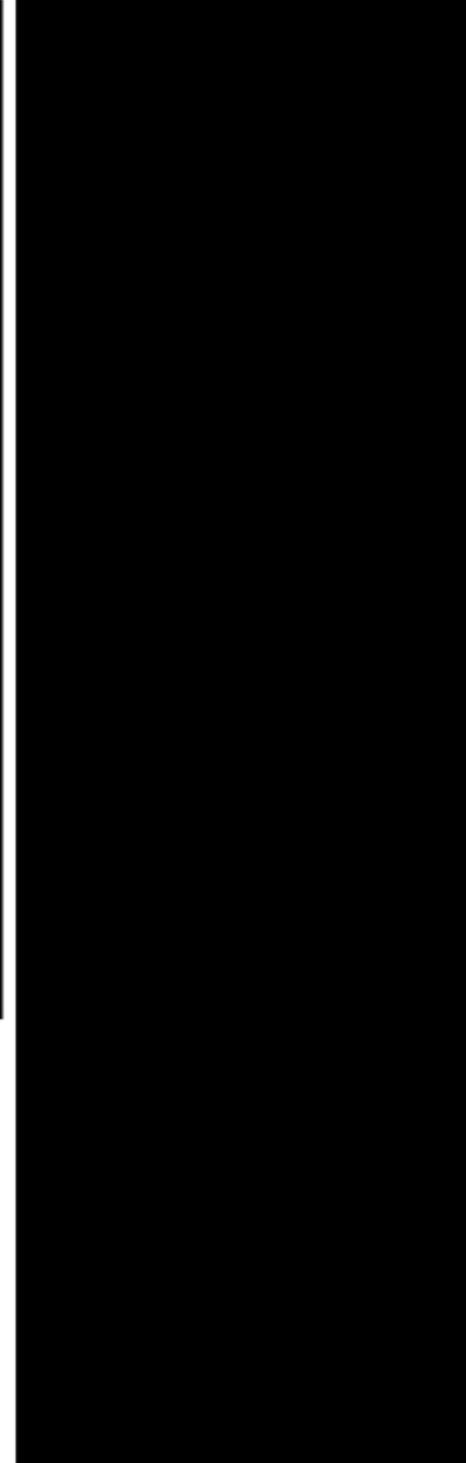
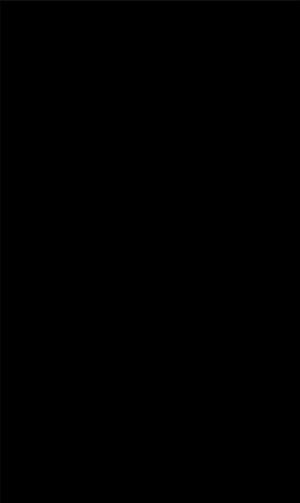
For internal use only

SDNY_GM_00057129

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e) **CONFIDENTIAL**

DB-SDNY-0019953
EFTA_00167697

EFTA01295831

No.	Full Name	Address/Phone
1.A.		
1.B.		
1.C.		
1.D.		

For internal use only

CONFIDENTIAL

No.	Full Name	Address/Phone
1.E.	[REDACTED]	[REDACTED]

2.	[REDACTED]	[REDACTED]
3.	[REDACTED]	[REDACTED]
4.	[REDACTED]	[REDACTED]
5.	[REDACTED]	[REDACTED]

Business Associates - 0 records found

Person Associates - 0 records found

Neighbors - 1 records found

Name	Address	Phone
[REDACTED]	[REDACTED]	[REDACTED]

Employment Locator - 0 records found

Criminal Filings - 0 records found

Cellular & Alternate Phones - 1 records found

For internal use only

CONFIDENTIAL

SDNY_GM_00057131

1:

Personal Information

Name: [REDACTED]

Address: [REDACTED]

Phone Number: [REDACTED]

Phone Type: [REDACTED]

Carrier Information

Carrier: NEW CINGULAR WRLS DC

Carrier City: NEW YORK CITY ZONE 01

Carrier State: NY

Sources - 10 records found

All Sources	10 Source Document(s)
Email addresses	1 Source Document(s)
Person Locator 1	1 Source Document(s)
Phone	3 Source Document(s)
PhonesPlus Records	1 Source Document(s)
Utility Locator	1 Source Document(s)
Voter Registrations	3 Source Document(s)

Key

- ▲ High Risk Indicator. These symbols may prompt you to investigate further.
- ▣ Moderate Risk Indicator. These symbols may prompt you to investigate further.
- ▢ General Information Indicator. These symbols inform you that additional information is provided.
- ✓ The most recent telephone listing as reported by the EDA source.

Important: The Public Records and commercially available data sources used on reports have errors. Data is sometimes entered poorly, processed incorrectly and is generally not free from defect. This system should not be relied upon as definitively accurate. Before relying on any data this system supplies, it should be independently verified. For Secretary of State documents, the following data is for information purposes only and is not an official record. Certified copies may be obtained from that individual state's Department of State.

Your DPPA Permissible Use is: Debt Recovery/Fraud
Your GLBA Permissible Use is: Legal Compliance

Copyright© 2016 LexisNexis, a division of Reed Elsevier Inc. All rights reserved.

2 OF 2 RECORD(S)

FOR INFORMATIONAL PURPOSES ONLY
Copyright 2016 LexisNexis
a division of Reed Elsevier Inc. All Rights Reserved.

Date: 10/12/2016
Report processed by:
DEUTSCHE BANK AG||

Full Name	Address	County	Phone
[REDACTED]	[REDACTED]	NEW YORK	None Listed
ADDITIONAL PERSONAL INFORMATION			
SSN	DOB	Gender	LexID(sm) 193751597540

For internal use only

SDNY_GM_00057132

CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0019956
EFTA_00167700

EFTA01295834

Subject Summary

Name Variations

1: [REDACTED]

Others Using SSN - 0 records found

Address Summary - 1 records found

No. Address

1: [REDACTED]

Address Details

[REDACTED]

Dates **Phone**
1/2016 - 10/2016

Census Data for Geographical Region

Median Head of Household Age: 62
Median Income: \$142,803
Median Home Value: \$829,082
Median Education: 14 years

Household Members

None Listed

Other Associates

None Listed

- Voter Registrations - 0 records found**
- Driver Licenses - 0 records found**
- Professional Licenses - 0 records found**
- Health Care Providers - 0 records found**
- Health Care Sanctions - 0 records found**
- Pilot Licenses - 0 records found**
- Sport Licenses - 0 records found**
- Real Property - 0 records found**
- Motor Vehicle Registrations - 0 records found**
- Boats - 0 records found**
- Aircraft - 0 records found**
- Bankruptcy Information - 0 records found**
- Judgments/Liens - 0 records found**
- UCC Liens - 0 records found**
- Fictitious Businesses - 0 records found**
- Notice Of Defaults - 0 records found**
- Potential Relatives - 5 records found**

1st Degree: 1, 2nd Degree: 4

No.	Full Name	Address/Phone
1.	[REDACTED]	[REDACTED]
1.A.	[REDACTED]	[REDACTED]

For internal use only

SDNY_GM_00057133

CONFIDENTIAL

No.	Full Name	Address/Phone
	[REDACTED]	[REDACTED]
1.B.	[REDACTED]	[REDACTED]
1.C.	[REDACTED]	[REDACTED]
1.D.	[REDACTED]	[REDACTED]

Business Associates - 0 records found
 Person Associates - 0 records found
 Neighbors - 2 records found

Name	Address	Phone
[REDACTED]	[REDACTED]	[REDACTED]

Employment Locator - 0 records found
 Criminal Filings - 0 records found
 Cellular & Alternate Phones - 0 records found

For internal use only

CONFIDENTIAL

Sources - 17 records found

All Sources
Person Locator 1
Phone
Utility Locator

17 Source Document(s)
1 Source Document(s)
15 Source Document(s)
1 Source Document(s)

D&B:

Not Required

LEGAL RESULTS:

Court Cases:

There was no information found

For internal use only

SDNY_GM_00057135