

NAME SEARCHED:



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	<a href="#">I. RDC Results</a>	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	<a href="#">II. PCR Results</a>	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Not Required	<a href="#">III. Negative Media</a>	There was no information found
		<a href="#">IV. Non-Negative Media</a>	There was no information found
		<a href="#">V. Other Language Media</a>	There was no information found
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	<a href="#">VI. D&amp;B</a>	Not required
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	<a href="#">VII. Smartlinx</a>	Result found(Please see attached)
Court Cases	<input checked="" type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input type="checkbox"/> Search not required	<a href="#">VIII. Court Cases</a>	Result found(Please see attached)

Prepared by: Reena Chandwani Date:06/15/2017  
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.

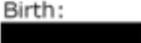
Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

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SDNY\_GM\_00058475

## OFAC RESULTS

### RDC:

11602678	<u>No Match Found</u>	KYC 1790724		Country:UNITED STATES	Date of Birth: 
11602679	<u>No Match Found</u>	KYC 1790724		Country:UNITED STATES	Date of Birth: 

### PCR:

C20170637909076  2890623 NCA customised Auto-Closed No-Hit 15/06/2017

C20170637909075  12890623 NCA customised Auto-Closed No-Hit 15/06/2017

## 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:

**1 OF 1 RECORD(S)**

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Date:6/15/2017  
Report processed by:  
DEUTSCHE BANK AG||

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**CONFIDENTIAL**

DB-SDNY-0021300  
EFTA\_00169036

EFTA01296258

**Full Name**

[REDACTED]

**Address**

[REDACTED]

**County**

NEW YORK

**Phone**

None Listed

**ADDITIONAL PERSONAL INFORMATION**

**SSN**

[REDACTED]

**DOB**

[REDACTED]

(Age:33)

**Gender**

Female

**LexID(sm)**

[REDACTED]

**Subject Summary**

**Name Variations**

- 1:
- 2:

[REDACTED]

**SSNs Summary**

No.	SSN	State Iss.	Date Iss.	Warnings
1:	[REDACTED]	Minnesota	1986-1987	Most frequent SSN attributed to subject:

**DOBs**

Reported DOBs:

[REDACTED]

**Possible E-Mail Addresses**

[REDACTED]

**Others Using SSN - 0 records found**

**Address Summary - 9 records found**

No. Address

- 1:
- 2:
- 3:
- 4:
- 5:
- 6:
- 7:

[REDACTED]

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No. Address

8: [Redacted]  
9: [Redacted]

Address Details

[Redacted]

Dates Phone  
10/2009 - 5/2017

Census Data for Geographical Region

Median Head of Household Age: 36  
Median Income: \$156,291  
Median Home Value: \$753,989  
Median Education: 16 years

Household Members

None Listed

Other Associates

None Listed

[Redacted]

Dates Phone  
11/2004 - 7/2014

Census Data for Geographical Region

Median Head of Household Age: 36  
Median Income: \$156,291  
Median Home Value: \$753,989  
Median Education: 16 years

Household Members

None Listed

Other Associates

None Listed

[Redacted]

Dates Phone  
10/2009 - 8/2015

Census Data for Geographical Region

Median Head of Household Age: 36  
Median Income: \$156,291  
Median Home Value: \$753,989  
Median Education: 16 years

Household Members

None Listed

Other Associates

TAN, GEORGE B

[Redacted]

Dates Phone  
9/2001 - 12/2014

[Redacted]

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**Census Data for Geographical Region**

Median Head of Household Age: 39  
Median Income: \$126,728  
Median Home Value: \$329,229  
Median Education: 16 years

**Household Members**

[REDACTED]

**Other Associates**

None Listed

[REDACTED]

**Dates**                      **Phone**  
12/2008 - 11/2009

**Census Data for Geographical Region**

Median Head of Household Age: 54  
Median Income: \$47,576  
Median Home Value: \$617,089  
Median Education: 14 years

**Household Members**

None Listed

**Other Associates**

None Listed

[REDACTED]

**Dates**                      **Phone**  
9/2005 - 10/2006

**Census Data for Geographical Region**

Median Head of Household Age: 34  
Median Income: \$44,625  
Median Home Value: \$0  
Median Education: 12 years

**Household Members**

None Listed

**Other Associates**

None Listed

[REDACTED]

**Dates**                      **Phone**  
1/2005 - 7/2005

**Census Data for Geographical Region**

Median Head of Household Age: 37  
Median Income: \$92,857  
Median Home Value: \$408,173  
Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

[REDACTED]

**Dates**                      **Phone**

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6/2004 - 4/2005

**Census Data for Geographical Region**

Median Head of Household Age: 36  
Median Income: \$49,615  
Median Home Value: \$0  
Median Education: 13 years

**Household Members**

None Listed

**Other Associates**

None Listed



Dates

Phone

**Census Data for Geographical Region**

Median Head of Household Age: 32  
Median Income: \$93,351  
Median Home Value: \$940,789  
Median Education: 16 years

**Household Members**

None Listed

**Other Associates**

TAN, GEORGE B

**Voter Registrations - 1 records found**

1: New York Voter Registration

**Registrant Information**

Name: [Redacted]

Residential Address: [Redacted]  
SSN: [Redacted]  
Date of Birth: [Redacted]

Gender: Female

**Voter Information**

Registration Date: 6/19/2014  
Last Vote Date: 11/8/2016  
Party Affiliation: DEMOCRAT  
Active Status: ACTIVE

**Driver Licenses - 8 records found**

1: Florida Driver License

**Driver Information**

Name: [Redacted]

Address: [Redacted]

Data source: Governmental: FL

**Personal Information**

SSN: [Redacted]  
DOB: [Redacted]

Gender: Female

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Height: 6'00"

**License Information**

License Type: ORIGINAL  
License Class: Non-Commercial - Regular Operator License  
Attention Flags: ORGAN DONOR

Issue Date: 12/11/2008  
Expiration Date: 11/2017

**Additional Driver Information**

DOB: [REDACTED]  
Gender: Female  
Race: WHITE  
History: Current  
Height: 6'00"

**2: Minnesota Driver License**

**Driver Information**

Name: [REDACTED]

Address: [REDACTED]

Data source: Governmental: MN

**Personal Information**

SSN: [REDACTED]  
DOB: [REDACTED]  
Gender: Female  
Height: 6'00"  
Weight: 125 lbs.

**License Information**

License Type: REGULAR LICENSE  
License Class: Valid for single unit vehicles designed to carry less than 15 passengers with a GVW less than 26000 lbs; vehicle combinations with a GVW less than 26000 lbs; farm trucks; fire trucks and emergency equipment or personal recreational equipment.  
Attention Flags: ORGAN DONOR

Issue Date: 12/23/2004  
Expiration Date: 11/2008

**Additional Driver Information**

DOB: [REDACTED]  
Gender: Female  
History: Historical  
Height: 6'00"  
Weight: 125 lbs.

**3: Minnesota Driver License**

**Driver Information**

Name: [REDACTED]

Address: [REDACTED]

Data source: Governmental: MN

**Personal Information**

SSN: [REDACTED]  
DOB: [REDACTED]  
Gender: Female  
Height: 6'00"  
Weight: 125 lbs.

**License Information**

License Type: REGULAR LICENSE

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**License Class:** CONAX record.This could mean a conviction only, no driver license.  
**Attention Flags:** ORGAN DONOR

**Issue Date:** 12/23/2004  
**Expiration Date:** 11/2008

**Additional Driver Information**

**DOB:** 11/1983  
**Gender:** Female  
**History:** Historical  
**Height:** 6'00"  
**Weight:** 125 lbs.

**4: Minnesota Driver License**

**Driver Information**

**Name:** [REDACTED]

**Address:** [REDACTED]

**Data source:** Governmental: MN

**Personal Information**

**SSN:** [REDACTED]  
**DOB:** [REDACTED]  
**Gender:** Female  
**Height:** 6'00"  
**Weight:** 125 lbs.

**License Information**

**License Type:** REGULAR LICENSE  
**License Class:** CONAX record.This could mean a conviction only, no driver license.  
**Attention Flags:** ORGAN DONOR

**Issue Date:** 12/23/2004  
**Expiration Date:** 11/2008

**Additional Driver Information**

**DOB:** [REDACTED]  
**Gender:** Female  
**History:** Historical  
**Height:** 6'00"  
**Weight:** 125 lbs.

**5: Minnesota Driver License**

**Driver Information**

**Name:** [REDACTED]

**Address:** [REDACTED]

**Data source:** Governmental: MN

**Personal Information**

**SSN:** [REDACTED]  
**DOB:** [REDACTED]  
**Gender:** Female  
**Height:** 6'00"  
**Weight:** 125 lbs.

**License Information**

**License Type:** REGULAR LICENSE  
**License Class:** CONAX record.This could mean a conviction only, no driver license.  
**Attention Flags:** ORGAN DONOR

**Issue Date:** 12/23/2004  
**Expiration Date:** 11/2008

**Additional Driver Information**

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DOB: [REDACTED]  
Gender: Female  
History: Historical  
Height: 6'00"  
Weight: 125 lbs.

6: Minnesota Driver License

Driver Information

Name: [REDACTED]  
Address: [REDACTED]

Data source: Governmental: MN

Personal Information

SSN: [REDACTED]  
DOB: [REDACTED]  
Gender: Female  
Height: 6'00"  
Weight: 125 lbs.

License Information

License Type: DUPLICATE PROVISIONAL LICENSE  
License Class: Valid for single unit vehicles designed to carry less than 15 passengers with a GVW less than 26000 lbs; vehicle combinations with a GVW less than 26000 lbs; farm trucks; fire trucks and emergency equipment or personal recreational equipment.  
Attention Flags: ORGAN DONOR  
Issue Date: 09/15/2003  
Expiration Date: 11/2004

Additional Driver Information

DOB: [REDACTED]  
Gender: Female  
History: Historical  
Height: 6'00"  
Weight: 125 lbs.

7: Minnesota Driver License

Driver Information

Name: [REDACTED]  
Address: [REDACTED]

Data source: Governmental: MN

Personal Information

SSN: [REDACTED]  
DOB: [REDACTED]  
Gender: Female  
Height: 5'11"  
Weight: 125 lbs.

License Information

License Type: PROVISIONAL LICENSE (MINOR)  
License Class: Valid for single unit vehicles designed to carry less than 15 passengers with a GVW less than 26000 lbs; vehicle combinations with a GVW less than 26000 lbs; farm trucks; fire trucks and emergency equipment or personal recreational equipment.  
Attention Flags: ORGAN DONOR  
Issue Date: 12/23/2002  
Expiration Date: 11/2004

Additional Driver Information

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DOB: 11/1983  
Gender: Female  
History: Historical  
Height: 5'11"  
Weight: 125 lbs.

8: Minnesota Driver License

Driver Information

Name: [Redacted]  
Address: [Redacted]

Data source: Non-Governmental: MN

Personal Information

SSN: [Redacted]  
DOB: [Redacted]

License Information

License Type: NO CLASS - USED FOR PERMITS  
License Class: NO CLASS - USED FOR PERMITS

Additional Driver Information

DOB: [Redacted]

- 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: 6, 2nd Degree: 4

No.	Full Name	Address/Phone
-----	-----------	---------------

1.

[Redacted]

(Age: 64)

[Redacted]

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No.

Full Name

Address/Phone

2.



(Age: 65)

3.



3.A.



(Age: 33)

3.B.



(Age: 32)



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DB-SDNY-0021309  
EFTA\_00169045

EFTA01296267

No.	Full Name	Address/Phone
4.	 (Age: 31)	
5.	 (Age: 97)	
6.	 (Age: 31)	
6.A.	 (Age: 52)	
6.B.	 DOB: 11/1959	

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DB-SDNY-0021310  
EFTA\_00169046

EFTA01296268

No.	Full Name (Age: 57)	Address/Phone
		[REDACTED]

**Business Associates - 0 records found**

**Person Associates - 2 records found**

No.	Full Name	Address	SSN	Phone	DOB
1:	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
2:	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

**Neighbors - 10 records found**

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

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Employment Locator - 0 records found  
Criminal Filings - 0 records found  
Cellular & Alternate Phones - 1 records found

1:

Personal Information

Name:

Address:

Phone Number:

Phone Type:

Carrier Information

Carrier: QWEST CORPORATION

Carrier City: MINNEAPOLIS

Carrier State: MN

Sources - 28 records found

- All Sources
- Driver Licenses
- Email addresses
- Historical Person Locator
- Person Locator 1
- PhonesPlus Records
- Utility Locator
- Voter Registrations

- 28 Source Document(s)
- 4 Source Document(s)
- 1 Source Document(s)
- 10 Source Document(s)
- 8 Source Document(s)
- 1 Source Document(s)
- 3 Source Document(s)
- 1 Source Document(s)

Key

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- ▲ 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.

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

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**D&B:**

Not required

**LEGAL RESULTS:**

**Court Cases:**

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 CourtLink Corporation

UNITED STATES DISTRICT COURT  
 EASTERN DISTRICT OF PENNSYLVANIA

[REDACTED]

PLAINTIFF: Michelle Hensley;

[REDACTED]

DEFENDANT:

[REDACTED]

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SDNY\_GM\_00058489

**CONFIDENTIAL**

[REDACTED]

[REDACTED]

DOCKET CASE NUMBER: [REDACTED]

OTHER DOCKET CASE NUMBER: [REDACTED]

[REDACTED]

FILING DATE: [REDACTED]

JURISDICTION: Diversity

JUDGE: Honorable BERLE M. SCHILLER

NATURE OF SUIT: 367 Personal Injury: Health Care/P

FILING TYPE: Civil

CAUSE: [REDACTED]

JURY DEMAND: Plaintiff

PLAINTIFF ATTORNEY(S):

[REDACTED]

[REDACTED]

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DB-SDNY-0021314  
EFTA\_00169050

EFTA01296272

[REDACTED]

[REDACTED]

DEFENDANT ATTORNEY(S):

[REDACTED]

THE COURT UPDATED THIS RECORD ON: 06/12/2017 12:00:00 AM

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DB-SDNY-0021315  
EFTA\_00169051

EFTA01296273