

NAME SEARCHED: **Plan D, LLC**

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 | No Information Found |
| | | IV. Non-Negative Media | No Information Found |
| | | V. Other Language Media | No Information Found |
| D&B | Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required | VI. D&B | Result found(please see attached) |
| 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 | No Information Found |

Prepared by: Shreya parashar 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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OFAC RESULTS**RDC:**

| | | | | |
|----------|--------------------------------|-------------|--|----------------------------------|
| 11602636 | No Match Found | KYC 1790685 |  Plan D, LLC | Country: VIRGIN ISLANDS, U.S. |
|----------|--------------------------------|-------------|--|----------------------------------|

PCR:

C20170637908740 Plan D, LLC 12890471 NCA customised Auto-Closed No-Hit 15/06/2017

BIS RESULTS:**Negative Media:**

No Information Found

Non-Negative Media:

No Information Found

Other Language Media:

No Information Found

Public Record:**1 OF 3 RECORD(S)****Comprehensive Business Report**

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Search Terms - company(Plan D, LLC) radius(15)

| | | | |
|---------------------------------|------------------------|-----------------------------|-------------------------------|
| Executives - Current (0) | Incorporation/SOS (1) | Operations/Sites (1) | Sales (0) |
| Licenses (0) | URLs (0) | Real Property - Current (0) | Real Property - Prior (0) |
| MVRs - Current (0) | MVRs - Prior (0) | Watercraft - Current (0) | Watercraft - Prior (0) |
| Aircraft - Current (0) | Aircraft - Prior (0) | Bankruptcy Filings (0) | Judgments & Liens Filings (0) |
| UCC Filings (1) | Executives - Prior (1) | Registered Agents (0) | Name Variations (2) |
| Possible Employees (0) | Person Associates (0) | Business Associates (2) | TINs (0) |
| Possible Connected Business (0) | Parent Company (0) | Industry Information (1) | |
| View All Sources (4) | | | |

Business Summary

| Name | Address | Phone |
|------------|------------------|-------|
| PLAN D LLC | 2629 Sudderth Dr | |

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DB-SDNY-0021896

EFTA_00169631

EFTA01296385

| | | |
|----------------|--|-----|
| | Ruidoso, NM 88345-6302 Lincoln County | |
| LexID | Established | TIN |
| 0001-1416-9672 | 2006 (11 Years in Business) | |

At a Glance

| | | | |
|-------------------|---|-------------------------------|---|
| Real Property | 0 | UCC Debtor | 1 |
| Personal Property | 0 | Bankruptcy | 0 |
| Secured Assets | 0 | Judgments/Liens | 0 |
| Executives | 0 | Foreclosure/Notice of Default | 0 |

Name Variations - 2 name variations found

| NO. | NAME |
|-----|-------------|
| 1. | PLAN D LLC |
| 2. | PLAN D, LLC |

TINs - 0 TINs found**Business Profile****Executives: Current - 0 executive(s) found****Incorporation/SOS (0 active, 1 other)**

| NO. | NAME | FILING TYPE | STATUS | FILING DATE | FILING NO. | STATE |
|-----|------------|-------------|--------|-------------|------------|-------|
| 1. | PLAN D LLC | | N/A | 10/20/2006 | 2793446 | |

Additional Details

Business Status: N/A
Filing Type: SOS Filing
Expiration: 11/20/2008
For Profit: Unknown
Origin: Other Business Filing

OperatingLocations - Showing 1 location(s)

| NO. | ADDRESS | METRO AREA | PHONE |
|-----|--|----------------|-------|
| 1. | 2629 Sudderth Dr Ruidoso, NM 88345-6302 Lincoln County | LINCOLN COUNTY | |

Sales - 0 record(s) found**Parent Company - 0 record(s) found****Industry Information**

| SIC | NAIC |
|--|--------------------------------------|
| 7299 | Miscellaneous Personal Services, Nec |
| | 541990 |
| | 812990 |
| All Other Professional, Scientific, and Technical Services | |
| All Other Personal Services | |
| Industry Description: SERVICES | |
| Business Description: | |

Licenses - 0 licenses found**URLs - 0 URLs found**

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Bankruptcy (0 active, 0 closed)

Judgments/Liens (0 filings)

UCC Filings (1 debtor, 0 creditor)

| NO. | ROLE | STATUS | ORIG. FILING DATE | ORIG. FILE NUMBER | JURISDICTION | FILE TYPE |
|--|--------|--------|-------------------|-------------------|--------------|----------------|
| 1. | Debtor | Active | 05/23/2013 | 20130008935B | NM | Initial Filing |
| <p>Filing Office Information SECRETARY OF STATE/OPERATIONS BUREAU/UCC DIVISION 325 Don Gaspar St Ste 300 Santa Fe, NM 87501</p> <p>Filing 1 Filing Number: 20130008935B Filing Date: 05/23/2013 Filing Type: INITIAL FILING Expiration: 05/23/2018</p> <p>Debtor 1 DREAM CATCHER CAFE 2629 Sudderth Dr Ruidoso, NM 88345-6302</p> <p>Secured Party Info 1 MERCHANT CAPITAL SOURCE LLC 2120 Main St Ste 220 Huntington Beach, CA 92648-7454</p> <p>Collateral RECEIVABLE OF CONTRACT</p> | | | | | | |

Real Property (0 current, 0 prior)

Personal Property (0 current, 0 prior)

Associates

Executives: Prior - 1 prior executive(s) found

| NO. | NAME | TITLE |
|-----|----------------|--|
| 1. | Crawford, Lynn | PRESIDENT (11/28/2006 - 09/02/2010) |

Registered Agents - 0 registered agent(s) found

Possible Employees - 0 current, 0 prior employees found

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DB-SDNY-0021898

EFTA_00169633

EFTA01296387

Person Associates - 0 other person associates found**Possible Connected Business - 0 businesses found****Business Associates - 2 business associates found**

| NO. | NAME | ADDRESS | ROLE |
|-----|-----------------------------|--|------|
| 1. | DREAM CATCHER CAFE | 2629 Sudderth Dr Ruidoso, NM 88345-6302 Lincoln County | UCC |
| 2. | MERCHANT CAPITAL SOURCE LLC | 2120 Main St Ste 220 Huntington Beach, CA 92648-7454 Orange County | UCC |

Sources

| | |
|-------------------|--------------------|
| All Sources | 4 Source Documents |
| UCC | 1 Source Documents |
| Other Directories | 2 Source Documents |
| Experian | 1 Source Documents |

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 Electronic Directory Assistance.
-  Wireless Phone Indicator. These symbols indicate a cell phone number.
-  Residential Phone Indicator. These symbols indicate a residential phone number.
-  Business Phone Indicator. These symbols indicate a business phone number.
-  Shared Phone Indicator. These symbols indicate the phone number may be shared between wireless and landline service.
-  FAX Indicator. These symbols indicate a FAX number.
-  Government Phone Indicator. These symbols indicate a government phone number.

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

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2 OF 3 RECORD(S)**Comprehensive Business Report**

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Search Terms - company(Plan D, LLC) radius(15)

Executives - Current (0)
Licenses (0)

Incorporation/SOS (0)
URLs (0)

Operations/Sites (1)
Real Property - Current (0)

Sales (0)
Real Property - Prior (0)

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DB-SDNY-0021899

EFTA_00169634

EFTA01296388

MVRs - Current (0) MVRs - Prior (0) Watercraft - Current (0) Watercraft - Prior (0)
 Aircraft - Current (0) Aircraft - Prior (0) Bankruptcy Filings (0) Judgments & Liens Filings (0)
 UCC Filings (0) Executives - Prior (0) Registered Agents (0) Name Variations (1)
 Possible Employees (0) Person Associates (0) Business Associates (0) TINs (0)
 Possible Connected Parent Company (0) Industry Information (0)
 Business (1)
 View All Sources (1)

Business Summary

| Name | Address | Phone |
|--|---|---|
| PLAN D LLC  (No recent public filings on file) | 401 E Booth Rd Searcy, AR 72143-8693 White County |  |
| LexID | Established | TIN |
| 0001-1427-9737 | 2013 (4 Years in Business) | |

At a Glance

| | | | |
|-------------------|---|-------------------------------|---|
| Real Property | 0 | UCC Debtor | 0 |
| Personal Property | 0 | Bankruptcy | 0 |
| Secured Assets | 0 | Judgments/Liens | 0 |
| Executives | 0 | Foreclosure/Notice of Default | 0 |

Name Variations - 1 name variations found

| NO. | NAME |
|-----|------------|
| 1. | PLAN D LLC |

TINs - 0 TINs found

Business Profile

Executives: Current - 0 executive(s) found

Incorporation/SOS (0 active, 0 other)

OperatingLocations - Showing 1 location(s)

| NO. | ADDRESS | METRO AREA | PHONE |
|-----|---|--------------|---|
| 1. | 401 E Booth Rd Searcy, AR 72143-8693 White County | WHITE COUNTY |  |

Sales - 0 record(s) found

Parent Company - 0 record(s) found

Industry Information - no information found

Licenses - 0 licenses found

URLs - 0 URLs found

Bankruptcy (0 active, 0 closed)

Judgments/Liens (0 filings)

UCC Filings (0 debtor, 0 creditor)

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Real Property (0 current, 0 prior)

Personal Property (0 current, 0 prior)

Associates

Executives: Prior - 0 prior executive(s) found

Registered Agents - 0 registered agent(s) found

Possible Employees - 0 current, 0 prior employees found

Person Associates - 0 other person associates found

Possible Connected Business - 1 businesses found

| NO. | NAME | ADDRESS |
|-----|------------|---|
| 1. | PLAN D LLC | 401 W Center Ave Searcy, AR 72143-5229 |

Business Associates - 0 business associates found

Sources

| | |
|-------------|--------------------|
| All Sources | 1 Source Documents |
| Experian | 1 Source Documents |

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.
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3 OF 3 RECORD(S)

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EFTA01296390

Comprehensive Business Report

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Search Terms - company(Plan D, LLC) radius(15)

| | | | |
|---------------------------------|------------------------|-----------------------------|-------------------------------|
| Executives - Current (0) | Incorporation/SOS (2) | Operations/Sites (1) | Sales (0) |
| Licenses (0) | URLs (0) | Real Property - Current (0) | Real Property - Prior (0) |
| MVRs - Current (0) | MVRs - Prior (0) | Watercraft - Current (0) | Watercraft - Prior (0) |
| Aircraft - Current (0) | Aircraft - Prior (0) | Bankruptcy Filings (0) | Judgments & Liens Filings (0) |
| UCC Filings (0) | Executives - Prior (0) | Registered Agents (0) | Name Variations (1) |
| Possible Employees (0) | Person Associates (0) | Business Associates (0) | TINs (0) |
| Possible Connected Business (1) | Parent Company (0) | Industry Information (0) | |
| View All Sources (2) | | | |

Business Summary

| Name | Address | Phone |
|--|--|-------|
| PLAN D LLC (No recent public filings on file) | 1 Commerce Plz Ste 100899 Albany, NY 12260-1000 | |
| LexID 0001-1430-8281 | Established 2010 (7 Years in Business) | TIN |

At a Glance

| | | | |
|-------------------|---|-------------------------------|---|
| Real Property | 0 | UCC Debtor | 0 |
| Personal Property | 0 | Bankruptcy | 0 |
| Secured Assets | 0 | Judgments/Liens | 0 |
| Executives | 0 | Foreclosure/Notice of Default | 0 |

Name Variations - 1 name variations found

| NO. | NAME |
|-----|------------|
| 1. | PLAN D LLC |

TINs - 0 TINs found**Business Profile**

Executives: Current - 0 executive(s) found

Incorporation/SOS (0 active, 2 other)

| NO. | NAME | FILING TYPE | STATUS | FILING DATE | FILING NO. | STATE |
|--|------------|-------------------------------|--------|-------------|--------------|-------|
| 1. | PLAN D LLC | LIMITED LIABILITY CORPORATION | N/A | 08/19/2010 | 100819000280 | |
| Additional Details Business Type: LIMITED LIABILITY CORPORATION Business Status: N/A Filing Type: SOS Filing Expiration: 08/31/2011 For Profit: Unknown Origin: Other Business Filing | | | | | | |
| 2. | PLAN D LLC | LIMITED LIABILITY CORPORATION | N/A | 02/24/2010 | 100224000536 | |
| Additional Details Business Type: LIMITED LIABILITY CORPORATION | | | | | | |

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DB-SDNY-0021902

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EFTA01296391

| |
|---|
| Business Status: N/A Filing Type: SOS Filing Expiration: 03/31/2011 For Profit: Unknown Origin: Other Business Filing |
|---|

Operating Locations - Showing 1 location(s)

| NO. | ADDRESS | METRO AREA | PHONE |
|-----|---|---------------|-------|
| 1. | 1 Commerce Plz Ste 100899 Albany, NY 12260-1000 Albany County | ALBANY COUNTY | |

Sales - 0 record(s) found**Parent Company - 0 record(s) found****Industry Information - no information found****Licenses - 0 licenses found****URLs - 0 URLs found****Bankruptcy (0 active, 0 closed)****Judgments/Liens (0 filings)****UCC Filings (0 debtor, 0 creditor)****Real Property (0 current, 0 prior)****Personal Property (0 current, 0 prior)****Associates****Executives: Prior - 0 prior executive(s) found****Registered Agents - 0 registered agent(s) found****Possible Employees - 0 current, 0 prior employees found****Person Associates - 0 other person associates found****Possible Connected Business - 1 businesses found**

| NO. | NAME | ADDRESS |
|-----|--------|--|
| 1. | PLAN D | 22 Emma St Bethpage, NY 11714-4430 Nassau County |

Business Associates - 0 business associates found**Sources**

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DB-SDNY-0021903

EFTA_00169638

EFTA01296392

| | |
|-------------------|--------------------|
| All Sources | 2 Source Documents |
| Other Directories | 2 Source Documents |

Key:

- A** High Risk Indicator. These symbols may prompt you to investigate further.
- M** Moderate Risk Indicator. These symbols may prompt you to investigate further.
- I** General Information Indicator. These symbols inform you that additional information is provided.
- ✓** The most recent telephone listing as reported by Electronic Directory Assistance.
- W** Wireless Phone Indicator. These symbols indicate a cell phone number.
- R** Residential Phone Indicator. These symbols indicate a residential phone number.
- B** Business Phone Indicator. These symbols indicate a business phone number.
- S** Shared Phone Indicator. These symbols indicate the phone number may be shared between wireless and landline service.
- F** FAX Indicator. These symbols indicate a FAX number.
- G** Government Phone Indicator. These symbols indicate a government phone number.

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Federal Employer Identification Numbers

May 1, 2015

Plan D, LLC

27827 BOGEN RD
NEW BRAUNFELS, TX 78132
UNITED STATES

***** COMPANY IDENTIFIERS *****

FEIN: 20-4967232

SOURCE REFERENCE NAME: TEXAS BUSINESS REGISTRATIONS

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DB-SDNY-0021904

EFTA_00169639

EFTA01296393

LOAD-DATE: March 24, 2017

LEGAL RESULTS:

Court Cases:

No Information Found

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