

NAME SEARCHED: **The 2017 Caterpillar Trust**

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 type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input checked="" type="checkbox"/> Hit | I. RDC Results | RDC Alert(mail sent separately) |
| FIRCOSOFT | <input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit | II. PCR Results | No FIRCOSOFT 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required | VI. D&B | No Information Found |
| Smartlinx | Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required | VII. Smartlinx | No Information Found |
| 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: Priyanka Rathore Date: 02/05/2018 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_00060799

OFAC RESULTS
RDC:

| | | | | |
|----------|-------------------------|--------------|---|---------------------------------|
| 11620919 | Alerted | KYC 01898372 |  The 2017 Caterpillar Trust | Country:UNITED STATES |
| 11620920 | Alerted | KYC 01898372 |  The 2017 Caterpillar Trust | Country:VIRGIN ISLANDS, U.S. |

FIRCOSOFT:

| Request ID | Record ID | Type | Name | Alert(s) | | | |
|------------|----------------|---------|----------------------------------|----------|----------|----------|----------|
| | | | | ADM | INT | PEP | SAE |
| 2078384 | WR_20783842182 | Company | The 2017 Caterpillar Trust | No Alert | No Alert | No Alert | No Alert |
| 2078385 | WR_20783852182 | Company | The 2017 Caterpillar Trust | No Alert | No Alert | No Alert | No Alert |

BIS RESULTS:

Negative Media:

No Information Found

Non-Negative Media:

No Information Found

Other Language Media:

No Information Found

Public Record:

No Information Found

D&B:

No Information Found

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SDNY_GM_00060800

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LEGAL RESULTS:

Court Cases:

No Information Found

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DB-SDNY-0023626
EFTA_00171315

EFTA01297504