

NAME SEARCHED: NES, 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 type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input checked="" type="checkbox"/> Hit	I. RDC Results	RDC Alert(please see attached)
FIRCOSOFT	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. FIRCOSOFT 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 Required
		V. Other Language Media	No Required
D&B	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VI. D&B	Information Found(please see attached)
Smartlinx	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	No Information Found
Court Cases	<input checked="" type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. Court Cases	Information Found(please see attached)

Prepared by: Mamta choudhary Date: 8/17/2018 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_00061288

OFAC RESULTS

RDC:

11638365 <u>Alerted</u>	KYC 1977694	 NES, LLC	Country: UNITED STATES
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FIRCOSOFT:

Request ID	Record ID	Type	Name	Details	Alert(s)			
					ADM	INT	PEP	SAE
24860290	WR_248602902182	Company	NES, LLC		No Alert	No Alert	No Alert	No Alert

BIS RESULTS:

Negative Media:

No Information Found

Non-Negative Media:

No Required

Other Language Media:

No Required

Public Records:

No Information Found

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No Documents Found

No documents were found for the search terms entered.

You can edit your search and try again, or save it. To edit it, you may want to try one or more of the following:

- Check for spelling errors.
- Remove some search terms.
- Check the "find similar-sounding last names" checkbox.

Search: Smartlinx[®] Comprehensive Business Report

Terms: tin(13-4146141) radius(15)

 [Edit Search](#) [New Search](#)

D&B:

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Worldbase

July 7, 2018

NES LLC

13622 GILBRIDE LN
(registered address)
CLARKSVILLE, MD 210291018
USA

COUNTY: HOWARD
REGION: NORTH AMERICA

***** **COMMUNICATIONS** *****

TELEPHONE: [REDACTED]

COUNTRY CODE: 0001

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DB-SDNY-0024115
EFTA_00171802

EFTA01297817

Worldbase, 07/07/2018, NES LLC

CABLE TELEX: 0NNNNANP

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

DUNS: 06-607-9259

***** COMPANY INFORMATION *****

FOUNDED: 2016

EMPLOYEES HERE: 7 - Estimate

EMPLOYEES TOTAL: 7 - Estimate

COMPANY TYPE: Private

***** EXECUTIVES *****

CEO:

NICOLE SHAW, PRINCIPAL

***** DESCRIPTION *****

UNDETERMINED

***** MARKET AND INDUSTRY *****

SIC CODES:

9999 - Nonclassified establishment

LOAD-DATE: August 10, 2018

LEGAL RESULTS:

Court Cases:

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UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS
(Springfield)

National Evaluation Systems, Inc v. Nes, LLC,

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National Evaluation Systems, Inc v. Nes, LLC, 3:05cv30081

PLAINTIFF: National Evaluation Systems, Inc Doing Business as Nes

DEFENDANT: Nes, LLC, Doing Business as National Educational Service

DOCKET CASE NUMBER: 3:05cv30081

FILING DATE: 4/5/2005

JURISDICTION: Federal Question

JUDGE: Ponsor, Michael A

NATURE OF SUIT: 840 Trademark

FILING TYPE: Civil

CAUSE: Trademark Infringement28 USC 1338

JURY DEMAND: None

STATUS: Case Closed

PLAINTIFF ATTORNEY(S):

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DEFENDANT ATTORNEY(S):

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THE COURT UPDATED THIS RECORD ON: 06/27/2005 12:00:00 AM

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