

NAME SEARCHED: Neptune, 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)
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	There was no information found
		IV. Non-Negative Media	Not Required
		V. Other Language Media	Not Required
D&B	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	VI. D&B	There was no information found
Smartlinx	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	There was 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	There was no information found

Prepared by: Shanu Gujaria
Research Analyst

Date: 08/27/2018

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.

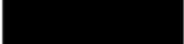
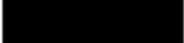
Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

For internal use only
For internal use only

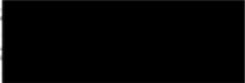
SDNY_GM_00061532

OFAC RESULTS

RDC:

 <u>Not Alerted</u>		 Neptune, LLC	Country: UNITED STATES
 <u>Not Alerted</u>		 Neptune, LLC	Country: VIRGIN ISLANDS, U.S.

FIRCOSOFT:

Request ID	Record ID	Type	Name	Details	Alert(s)			
					ADM	INT	PLP	SAE
		Company	Neptune, LLC		No Alert	No Alert	No Alert	No Alert
		Company	Neptune, LLC		No Alert	No Alert	No Alert	No Alert

BIS RESULTS

Negative Media:

There was no information found

Non-Negative Media:

Not Required

Other Language Media:

Not Required

Public Records:

For internal use only
For internal use only

SDNY_GM_00061533

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: [REDACTED] radius(15)

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

Search: Smartlinx[®] Comprehensive Business Report > Search Results

Terms: company(Neptune LLC) street address(6100 Red Hook, Quarter B3) city(SAINT THOMAS...)

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

Select for Delivery or [View Checked](#)

No.	Description/Action	Address	Company ID's
1	NEPTUNE POOLS, INC. Get Business Report <small>(Company is active)</small>	[REDACTED]	LexID [®] Business Legal Entity: [REDACTED]

D&B:

There was no information found

LEGAL RESULTS:

Court Cases:

There was no information found

For internal use only
For internal use only

SDNY_GM_00061534

CONFIDENTIAL