

**NAME SEARCHED: Southern Trust Company, Inc.**

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)
FIRCOSOFT	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	<a href="#">II. FIRCOSOFT Results</a>	No FIRCOSOFT 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 checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	<a href="#">VI. D&amp;B</a>	There was no information found
Smartlinx	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	<a href="#">VII. Smartlinx</a>	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	<a href="#">VIII. Court Cases</a>	There was no information found

Prepared by: Himanshu Khatwani Date:08/21/2018  
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\_00062451

**OFAC RESULTS**

**RDC:**

11638464	<u>Not Alerted</u>	KYC 01977695	 Southern Trust Company, Inc.	Country: VIRGIN ISLANDS, U.S.
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**FIRCOSOFT:**

Request ID	Record ID	Type	Name	Alert(s)			
				ADM	INT	PEP	SAE
24860751	WR_248607512182	Company	Southern Trust Company, Inc.	No Alert	No Alert	False	No Alert

**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:**

There was no information found

**D&B:**

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**CONFIDENTIAL**

There was no information found

**LEGAL RESULTS:**

**Court Cases:**

There was no information found

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**CONFIDENTIAL**

DB-SDNY-0025278  
EFTA\_00172961

EFTA01298294