

NAME SEARCHED: Financial Infomatics 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	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: [REDACTED]
Research Analyst

Date: 08/23/2018

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_00062927

OFAC RESULTS

RDC:

██████████	Not Alerted	KYC	██████████		Financial Infomatics Inc	Country: VIRGIN ISLANDS, U.S.
------------	-----------------------------	-----	------------	---	--------------------------	-------------------------------

FIRCOSOFT:

Request ID	Record ID	Type	Name	Details	Alert(s)			
					ADM	INT	PEP	SAE
██████████	██████████	Company	Financial Infomatics Inc	0	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_00062928

View: Results List | Full

1 - 17 of 17

Find

Search: Smartlink[®] Comprehensive Business Report > Search Results
Terms: company(Financial Infomatics Inc) street address(6100 Red Hook, Quarter B3) radi...

(Edit Search | New Search)

Select for Delivery or View Checked

Icon	Business Name	Address	Company ID#	Phone
<input type="checkbox"/> 2.	HEALTHCARE FINANCIAL INFORMATICS, INC. Get Business Report	785 GRAND AVE STE 100 CARLSBAD, CA 92008-2570 SAN DIEGO COUNTY	LexID# Business Legal Entity: 0040-8030-9205	
<input type="checkbox"/> 2.	INSURANCE CONSULTING SERVICES INC Get Business Report	8100 ARKTON AVE STE 108 MANASSAS, VA 20109-5647 PRINCE WILLIAM COUNTY	LexID# Business Legal Entity: 0030-6992-5079 TIN: 54-1520000	671-378-2002 Phone Not Listed in Electronic Database
Match Names/Locations (up to 5)				
	ICS FINANCIAL INC	8100 ARKTON AVE STE 104 MANASSAS, VA 20109-5647 PRINCE WILLIAM COUNTY		671-378-2002 Phone Not Listed in Electronic Database
<input type="checkbox"/> 3.	IAS FINANCIAL Get Business Report	6600 SILVER STAR BL ORLANDO, FL 32818-0287 OSMOR COUNTY	LexID# Business Legal Entity: 0000-7904-0955 TIN: 59-3433741	407-332-7754 Phone Not Listed in Electronic Database
Match Names/Locations (up to 5)				
	IAS FINANCIAL	225 CROWN OAK CENTRE DR LONGWOOD, FL 32750-6148 SEMIHOLE COUNTY		407-332-7754 Phone Not Listed in Electronic Database

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_00062929

CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0025754

EFTA_00173437

EFTA01298387