

NAME SEARCHED: **Plan D, 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	No Information Found
		IV. Non-Negative Media	No Information Found
		V. Other Language Media	No Information Found
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 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 Sharma** Date: 10/01/2018

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.

For internal use only

For internal use only

SDNY_GM_00063566

OFAC RESULTS**RDC:**

Inquiry Id	Response Type	Tracking Id	Name	Address	Date of Birth/Age
11641150	<u>No Match Found</u>	KYC 01977694	 Plan D, LLC	Country: VIRGIN ISLANDS, U.S.	

FIRCOSOFT:

30052200	WR_300522002182	Company	Plan D, LLC	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

D&B:

Copyright 2018 Dun & Bradstreet, Inc

Worldbase

March 7, 2018**PLAN D LLC**

 6100 RED HOOK QTRS
(registered address)
ST THOMAS, VI 008021348
USA

COUNTY: SAINT THOMAS

For internal use only
For internal use only

SDNY_GM_00063567

REGION: NORTH AMERICA

***** COMMUNICATIONS *****
 TELEPHONE: 2129711314

COUNTRY CODE: 0001
 CABLE TELEX: 1 NMNNANP

***** COMPANY IDENTIFIERS *****
 DUNS: 08-111-5986

***** COMPANY INFORMATION *****
 FOUNDED: 2018
 LEGAL STATUS: Proprietorship

EMPLOYEES HERE: 2 - Estimate
 EMPLOYEES TOTAL: 2 - Estimate

COMPANY TYPE: Private

***** DESCRIPTION *****
 EQPT RNTL LSING N

***** MARKET AND INDUSTRY *****
 SIC CODES:
 7359 - Equipment rental/leasing

\$53,460 (US Dollars)

Public Record:

1 OF 1 RECORD(S)

SmartLinx® Comprehensive Business Report

Report Created:10-01-2018 1:13 PM EST | FOR INFORMATIONAL PURPOSES ONLY | Copyright © 2018 LexisNexis, All rights reserved.

Search Terms - company(Plan D, LLC) radius(15)

- | | | | |
|---------------------------------|------------------------|-----------------------------|-------------------------------|
| Executives - Current (0) | Incorporation/SOS (1) | Operations/Sites (1) | Sales (0) |
| Licenses (0) | URLs (0) | Real Property - Current (0) | Real Property - Prior (0) |
| MVRs - Current (0) | MVRs - Prior (0) | Watercraft - Current (0) | Watercraft - Prior (0) |
| Aircraft - Current (0) | Aircraft - Prior (0) | Bankruptcy Filings (0) | Judgments & Liens Filings (0) |
| UCC Filings (1) | Executives - Prior (1) | Registered Agents (0) | Name Variations (2) |
| Possible Employees (0) | Person Associates (0) | Business Associates (2) | TINs (0) |
| Possible Connected Business (0) | Parent Company (0) | Industry Information (1) | |
| View All Sources (4) | | | |

Business Summary

Name	Address	Phone
PLAN D LLC	2629 Sudderth Dr Ruidoso, NM 88345-6302 Lincoln County	
LexID	Established	TIN
0001-1416-9672	2013 (5 Years in Business)	

For internal use only
 For internal use only

SDNY_GM_00063568

CONFIDENTIAL

At a Glance

Real Property	0	UCC Debtor	1
Personal Property	0	Bankruptcy	0
Secured Assets	0	Judgments/Liens	0
Executives	0	Foreclosure/Notice of Default	0

Name Variations - 2 name variations found

NO.	NAME
1.	PLAN D LLC
2.	PLAN D, LLC

TINs - 0 TINs found**Business Profile****Executives: Current - 0 executive(s) found****Incorporation/SOS (0 active, 1 other)**

NO.	NAME	FILING TYPE	STATUS	FILING DATE	FILING NO.	STATE
1.	PLAN D LLC		N/A	10/20/2006	2793446	

Additional Details

Business Status: N/A
Filing Type: SOS Filing
Expiration: 11/20/2008
For Profit: Unknown
Origin: Other Business Filing

Operating Locations - Showing 1 location(s)

NO.	ADDRESS	METRO AREA	PHONE
1.	2629 Sudderth Dr Ruidoso, NM 88345-6302 Lincoln County	LINCOLN COUNTY	

Sales - 0 record(s) found**Parent Company - 0 record(s) found****Industry Information**

SIC	NAIC
7299	Miscellaneous Personal Services, Nec
	541990
	812990
All Other Professional, Scientific, and Technical Services	
All Other Personal Services	
Industry Description: SERVICES	
Business Description:	

Licenses - 0 licenses found**URLs - 0 URLs found****Bankruptcy (0 active, 0 closed)****Judgments/Liens (0 filings)**

For internal use only
For internal use only

SDNY_GM_00063569

CONFIDENTIAL

UCC Filings (1 debtor, 0 creditor)

NO.	ROLE	STATUS	ORIG. FILING DATE	ORIG. FILE NUMBER	JURISDICTION	FILE TYPE
1.	Debtor	Active	05/23/2013	20130008935B	NM	Amendment
<p>Filing Office Information SECRETARY OF STATE/OPERATIONS BUREAU/UCC DIVISION 325 Don Gaspar St Ste 300 Santa Fe, NM 87501</p> <p>Filing 2 Filing Number: 20179730469G Filing Date: 10/25/2017 Filing Type: AMENDMENT Expiration: 05/23/2018</p> <p>Debtor 1 DREAM CATCHER CAFE 2629 Sudderth Dr Ruidoso, NM 88345-6302</p> <p>Secured Party Info 1 MERCHANT CAPITAL SOURCE LLC 2120 Main St Ste 220 Huntington Beach, CA 92648-7454</p> <p>Filing 1 Filing Number: 20130008935B Filing Date: 05/23/2013 Filing Type: INITIAL FILING Expiration: 05/23/2018</p> <p>Debtor 1 DREAM CATCHER CAFE 2629 Sudderth Dr Ruidoso, NM 88345-6302</p> <p>Secured Party Info 1 MERCHANT CAPITAL SOURCE LLC 2120 Main St Ste 220 Huntington Beach, CA 92648-7454</p> <p>Collateral RECEIVABLE OF CONTRACT</p>						

Real Property (0 current, 0 prior)**Personal Property (0 current, 0 prior)****Associates**

For internal use only
For internal use only

SDNY_GM_00063570

CONFIDENTIAL

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

DB-SDNY-0026395
EFTA_00174078

EFTA01298652

Executives: Prior - 1 prior executive(s) found

NO.	NAME	TITLE
1.	Crawford, Lynn  Moderate Risk  Associated with Other Companies	PRESIDENT

Registered Agents - 0 registered agent(s) found**Possible Employees - 0 current, 0 prior employees found****Person Associates - 0 other person associates found****Possible Connected Business - 0 businesses found****Business Associates - 2 business associates found**

NO.	NAME	ADDRESS	ROLE
1.	DREAM CATCHER CAFE	2629 Sudderth Dr Ruidoso, NM 88345-6302 Lincoln County	UCC
2.	MERCHANT CAPITAL SOURCE LLC	2120 Main St Ste 220 Huntington Beach, CA 92648-7454 Orange County	UCC

Sources

All Sources	4 Source Documents
UCC	1 Source Documents
Other Directories	2 Source Documents
Experian	1 Source Documents

Key:

-  High Risk Indicator. These symbols may prompt you to investigate further.
-  Moderate Risk Indicator. These symbols may prompt you to investigate further.
-  General Information Indicator. These symbols inform you that additional information is provided.
-  The most recent telephone listing as reported by Electronic Directory Assistance.
-  Wireless Phone Indicator. These symbols indicate a cell phone number.
-  Residential Phone Indicator. These symbols indicate a residential phone number.
-  Business Phone Indicator. These symbols indicate a business phone number.
-  Shared Phone Indicator. These symbols indicate the phone number may be shared between wireless and landline service.
-  FAX Indicator. These symbols indicate a FAX number.
-  Government Phone Indicator. These symbols indicate a government phone number.

Important: The Public Records and commercially available data sources used on reports have errors. Data is sometimes entered poorly, processed incorrectly and is generally not free from defect. This system should not be relied upon as definitively accurate. Before relying on any data this system supplies, it should be independently verified. For Secretary of State documents, the following data is for information purposes only and is not an official record. Certified copies may be obtained from that individual state's Department of State.

Your DPPA Permissible Use is: Debt Recovery/Fraud

Your GLBA Permissible Use is: Legal Compliance

For internal use only
For internal use only

SDNY_GM_00063571

Copyright © 2018 LexisNexis, a division of Reed Elsevier Inc. All Rights Reserved.

LEGAL RESULTS:

Court Cases:

No Information Found

For internal use only
For internal use only

SDNY_GM_00063572

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

CONFIDENTIAL

DB-SDNY-0026397
EFTA_00174080

EFTA01298654