

NAME SEARCHED: Paul S Barrett

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 (Mail sent separately)
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	Not Required
		V. Other Language Media	Not Required
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. D&B	Not Required
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: Himanshu Khandelwal Date: 10/15/2018 **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.

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SDNY_GM_00063589

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

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SDNY_GM_00063590

DB-SDNY-0026415
EFTA_00174098

EFTA01298671

OFAC RESULTS

RDC:

11641987	<u>Alerted</u>	KYC 01977695	 Paul S Barrett	(Global Search)	Date of Birth: 3/9/1974
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FIRCOSOFT:

		Individual	Paul S Barrett	No Alert	No Alert	No Alert	No Alert
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BIS RESULTS:

Negative Media:

No Information Found

Non-Negative Media:

Not Required

Other Language Media:

Not Required

D&B:

Not Required

Public Record:

No Information Found

LEGAL RESULTS:

Court Cases:

No Information Found

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