

NAME SEARCHED: **Southern Financial 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 type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input checked="" type="checkbox"/> Hit	I. RDC Results	Alert found (Mail sent separately)
FIRCOSOFT	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. FIRCOSOFT Results	No Alert (please see attached)
BIS	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	III. Negative Media	Not required
		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 type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VII. Smartlinx	Not required
Court Cases	<input type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input checked="" type="checkbox"/> Search not required	VIII. Court Cases	Not required

Prepared by: Nahid Khan Date: 02/22/2018

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-Hubbell](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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