

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	☒ No Hit ☐ Not Required ☐ Hit	I. RDC Results	No RDC Alert (Please See Attached)
FIRCOSOFT	☒ No Hit ☐ Not Required ☐ Hit	II. FIRCOSOFT Results	No FIRCOSOFT Alert (Please See Attached)
BIS	☐ Yes ☒ No ☐ 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? ☒ Yes ☐ No ☐ Not Required	VI. D&B	Information Found (Please See Attached)
SMARTLINX	Results? ☐ Yes ☒ No ☐ Not Required	VII. Smartlinx	No Information Found
COURT CASES	☐ Review by Legal May be Required ☒ No Results ☐ 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: <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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