

NAME SEARCHED: [REDACTED]

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:

RDC

PCR

Yes

BIS

No Hit

Hit

No Hit

Hit

Not Required

Not Required

No

Not Required

D&B

Smartlinx

Court Cases

Results?

Yes

Not Required

Results?

be Required

Yes

Not Required

Review by Legal May

No Results

Search not required

Prepared by: Deepanshu sharma Date:01/27/2017

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.

No

VII. Smartlinx

There was no information found

VIII. Court Cases

No

[Click here for results:](#)

I. RDC Results

II. PCR Results

III. Negative Media

IV. Non-Negative Media

Reviewer Comments (as necessary):

No RDC alert (Please see attached)

No PCR alert (Please see attached)

There was no information found

There was no information found

V. Other Language Media There was no information found

VI. D&B

Not required

Result found(Please see attached)

For internal use only

OFAC RESULTS

RDC:

[REDACTED] No Match Found GCIS [REDACTED]

Country:UNITED STATES

PCR:

[REDACTED] NCA customised Auto-Closed No-Hit
27/01/2017

BIS RESULTS

Negative Media:

There was no information found

Non-Negative Media:

There was no information found

Other Language Media:

There was no information found

Public Records:

1 OF 1 RECORD(S)

FOR INFORMATIONAL PURPOSES ONLY

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Date:1/27/2017

Report processed by:

DEUTSCHE BANK AG||

Full Name

[REDACTED]

Address

[REDACTED]

County

[REDACTED]

Phone

None Listed

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ADDITIONAL PERSONAL INFORMATION

SSN

DOB

[REDACTED]

Subject Summary

Name Variations

1: [REDACTED]

SSNs Summary

No. SSN

1:

[REDACTED]

State Iss.

Connecticut

Possible E-Mail Addresses

[REDACTED]

Others Using SSN - 0 records found

Address Summary - 3 records found

No. Address

1:

[REDACTED]

2:

3:

[REDACTED]

Address Details

1: [REDACTED]

Address

[REDACTED]

Census Data for Geographical Region

Median Head of Household Age: 36

Median Income: \$156,291

Median Home Value: \$753,989

Median Education: 16 years

Household Members

None Listed

Other Associates

None Listed

2: [REDACTED]

Address

[REDACTED]

NEW YORK COUNTY

Census Data for Geographical Region

Median Head of Household Age: 31

Median Income: \$122,088

Median Home Value: \$986,951

Median Education: 16 years

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Dates

4/2015 - 5/2016

Phone

Date Iss.

Warnings

Most frequent SSN attributed to subject:

[REDACTED]

Gender

LexID(sm)

[REDACTED]

Dates

Phone

1/2012 - 1/2017

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Household Members

None Listed

Other Associates

3:

Address

Census Data for Geographical Region

Median Head of Household Age: 42

Median Income: \$100,442

Median Home Value: \$1,000,000

Median Education: 16 years

Household Members

None Listed

Other Associates

Voter Registrations - 0 records found

Driver Licenses - 0 records found

Professional Licenses - 0 records found

Health Care Providers - 0 records found

Health Care Sanctions - 0 records found

Pilot Licenses - 0 records found

Sport Licenses - 0 records found

Real Property - 0 records found

Motor Vehicle Registrations - 0 records found

Boats - 0 records found

Aircraft - 0 records found

Bankruptcy Information - 0 records found

Judgments/Liens - 0 records found

UCC Liens - 0 records found

Fictitious Businesses - 0 records found

Notice Of Defaults - 0 records found

Potential Relatives - 0 records found

Business Associates - 0 records found

Person Associates - 1 records found

No. Full Name

Address

1:

Neighbors

- 9 records found

[REDACTED]
Name

Address

For internal use only

Phone

Dates

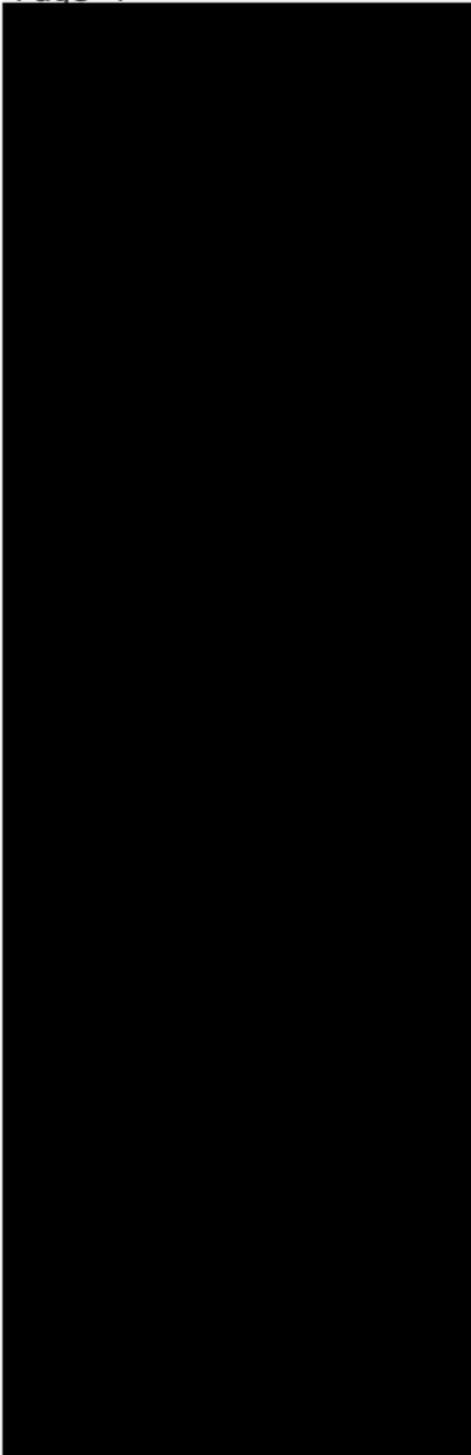
1/2013 - 3/2015

Phone

SSN

Phone
[REDACTED]

DOB
[REDACTED]



Employment Locator - 4 records found

1:

Company Name:

Name:

Title:

Address:

SSN:

Phone:

Confidence: Medium

2:

Company Name: THE NEW SCHOOL

Name: [REDACTED]

Title: [REDACTED]

Address: [REDACTED]

SSN: [REDACTED]

Phone: [REDACTED]

Confidence: Medium

3:

Company Name: [REDACTED]

Name: [REDACTED]

Address: [REDACTED]

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SSN: [REDACTED]

Phone: [REDACTED]

Confidence: Medium

4:

Company Name: [REDACTED]

Name: [REDACTED]

Title: [REDACTED]

Address: [REDACTED]

[REDACTED]

SSN: [REDACTED]

Phone: [REDACTED]

Confidence: Medium

Criminal Filings - 0 records found

Cellular & Alternate Phones - 0 records found

Sources - 7 records found

All Sources

Email addresses

Person Locator 1

Utility Locator

7 Source Document(s)

3 Source Document(s)

1 Source Document(s)

3 Source Document(s)

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 the EDA source.

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

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D&B:

Not required

LEGAL RESULTS:

Court Cases:

There was no information found

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