

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:

RDC

FIRCOSOFT

BIS

Result:

No Hit Not Required

Hit

No Hit Not Required

Hit

Yes No

Not Required

Click here for results:

I. RDC Results

Reviewer Comments (as necessary):

Alert found (Mail sent separately)

II. FIRCOSOFT Results No Alert (please see attached)

Not required

III. Negative Media

IV. Non-Negative Media

V. Other Language Media

D&B

Smartlinx

Court Cases

Results?

Yes

Not Required

Results? Yes

Not Required

Review by Legal May

be Required No Results

Search not required

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

VIII. Court Cases

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

No

VII. Smartlinx

Not required

No

VI. D&B

Not required

Not required

Not required

Not required

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OFAC RESULTS

RDC:

11622715 Alerted

GCIS 00000483882

Southern Financial LLC

Country:VIRGIN ISLANDS,

U.S.

FIRCOSOFT:

Request ID Record ID

Type

Name

3039458 WR_30394582182 Company

Southern

Financial

LLC

Alert (s)

ADM

INT

PEP

SAE

No Alert No Alert No Alert No Alert

BIS RESULTS:

Negative Media:

Not required

Non-Negative Media:

Not required

Other Language Media:

Not required

Public Record:

Not required

D&B:

Not required

LEGAL RESULTS:

Court Cases:

Not required

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