

NAME SEARCHED: **LSJE Employees, 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 checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit | I. RDC Results | No RDC alert (Please see attached) |
| PCR | <input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit | II. PCR Results | No PCR alert (Please see attached) |
| BIS | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required | III. Negative Media | There was no information found |
| | | IV. Non-Negative Media | There was no information found |
| | | V. Other Language Media | There was no information found |
| D&B | Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required | VI. D&B | There was no information found |
| Smartlinx | Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required | VII. Smartlinx | There was 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 | There was no information found |

Prepared by: Anshu Parashar Date: 02/13/2015
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) <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

SDNY_GM_00053776

OFAC RESULTS

RDC:

| | | | | |
|----------|----------------|--------------|---|-------------------------------|
| 11567042 | No Match Found | DBOI 9200225 |  LSJE Employees, LLC | Country: Virgin Islands, U.s. |
|----------|----------------|--------------|---|-------------------------------|

PCR:

C20150225497521 LSJE Employees, LLC, 9200225 NCA customised Auto-Closed No-Hit 13/02/2015

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:

There was no information found

D&B:

There was no information found

LEGAL RESULTS:

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Court Cases:

There was no information found

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CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

SDNY_GM_00053778

DB-SDNY-0016602
EFTA_00164348

EFTA01255063