

**NAME SEARCHED: Ghislaine N Maxwell**

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. <a href="#">RDC Results</a>	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. <a href="#">PCR Results</a>	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input type="checkbox"/> No  <input checked="" type="checkbox"/> Not Required	III. <a href="#">Negative Media</a>	Not Required
		IV. <a href="#">Non-Negative Media</a>	Not Required
		V. <a href="#">Other Language Media</a>	Not Required
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. <a href="#">D&amp;B</a>	Not Required
Smartlinx	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VII. <a href="#">Smartlinx</a>	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. <a href="#">Court Cases</a>	Not Required

Prepared by: Ahsan Manzoor Date: 10/07/2013  
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

SDNY\_GM\_00053913

## OFAC RESULTS

### RDC:

11527348	No Match Found	6873907	 Ghislaine N Maxwell	Country:United Kingdom
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### PCR:

C20131019119922 Ghislaine N Maxwell 6873907 NCA customised Auto-Closed No-Hit  
07/10/2013

## 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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DB-SDNY-0016738

EFTA\_00164484

EFTA01295184