

Research Summary

Date: 27/Jan/17 07:51:50 PM Cost code: 6201215544 User: DEEPANSHU SHARMA

First name(s):
Surname:

| Check/Query | Source Type/Source | Search Parameters | Results |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------|
| News | | | |
| Negative News | Negative News/Negative News / All English Language News | ((NAME [REDACTED] and [REDACTED] w/50 Negative News*)) | 5 |
| News | News/All English Language News | [REDACTED] | Results found (not reviewed in this session) |
| Sanctions & Warnings | | | |
| Sanctions & Watchlists | Sanctions & Watchlists/Sanctions and Actions; Autorité des marchés financiers - Commission des sanctions | [REDACTED] | No Results |
| Additional Watchlists | Additional Watchlists/Sanction Lists; Watchlists and Blacklists | [REDACTED] | No Results |
| FINRA Actions | FINRA Actions/Combined NYSE & NASD Disciplinary Decisions; Financial Industry Regulatory Authority (FINRA/NASD) Arbitration Awards | ((NAME [REDACTED])) | No Results |
| Legal | | | |

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