

US-Onshore_HRIPM_Due2017

Customer Name Explanation	Customer Number Bank	Primary Officer Auto Exempt Reason	High Risk Client	InPerson Meeting Since Date	Due Year	Past-Due	Exp
Hernstadt, Edward W.		Liz Payne		2017	1	3/20/1985	
Marriott, Stephen Blake		Brian Convey		2017	1	8/20/2013	
Big River Real Estate, LLC		Brian Convey		2017	1	12/31/2007	
Zisook Enterprises L.P.		Michael S. Jacoby		2017	1	10/7/2014	
Allen, Paul Gardner		Russell Daulton		2017	1	12/8/2009	
KKR Holdings, LP		Michael King		2017	1	5/13/2014	
Schwartz, Alan E.		Salvatore E. Moore		2017	1	6/4/2014	
Sunbridge Holdings, LLC		Malcolm Kimble		2017	1	6/27/2013	
Fertitta Entertainment, Inc.		Malcolm Kimble		2017	1	4/23/2012	
The 2012 Diana L. Mercer Family GST Trust 9/26/2012		00000477782		Mary Ann Coleman		2017	1
Coalition for a Better Kansas, Inc.				Bruce McDermott	2017	1	8/7/2014
Charles G. Koch 1997 Trust				Bruce McDermott	2017	1	7/29/2009
1998 Simons Family Revocable Trust				Terri Sohrab	2017	1	12/15/2014
Guardian Investment Company Ltd.				Terri Sohrab	2017	1	6/27/2011
Atlas Real Estate Funds, Inc.				Terri Sohrab	2017	1	12/23/2008
The 2000 Robert and Laura Sillerman Descendants' Trust 9/15/2008				Terri Sohrab	2017	1	
Infinity Equity Ventures LLC				Rosemary Vrablic	2017	1	11/26/2014
Desnick Descendants Irrevocable Trust /2014				Rosemary Vrablic	2017	1	10/3
Jordan Desnick Minority Trust				Rosemary Vrablic	2017	1	9/16/2014
Michelle Desnick Minority Trust dtd 8/14/89 9/16/2014				Rosemary Vrablic	2017	1	
American Entertainment Properties Corp. /2014				Rosemary Vrablic	2017	1	8/15
The ABEN Liquidating Trust				Rosemary Vrablic	2017	1	6/26/2014
Icahn Enterprises Holdings, LP				Rosemary Vrablic	2017	1	3/27/2014
Stallion 44, LLC				Rosemary Vrablic	2017	1	3/12/2013
Perpetual Aviation, LLC				Rosemary Vrablic	2017	1	9/6/2011
IL MULINO USA, LLC				Rosemary Vrablic	2017	1	6/29/2011
LW 12th Street Holding, LLC				Rosemary Vrablic	2017	1	6/17/2011
Infinity LW 12th Street, LLC				Rosemary Vrablic	2017	1	6/17/2011
CCI Onshore LLC				Rosemary Vrablic	2017	1	12/11/2008
Comsup Ltd.				Rosemary Vrablic	2017	1	4/20/2009
Comsup Commodities Inc				Rosemary Vrablic	2017	1	8/24/2009
Icahn Management LP				Rosemary Vrablic	2017	1	3/14/2008
Koala Holding Limited Partnership /2008				Rosemary Vrablic	2017	1	2/21
Desnick, Ahuva				Rosemary Vrablic	2017	1	7/29/2014
Gascon Partners				Rosemary Vrablic	2017	1	11/10/2006
CLAWSON, CURTIS J				Sean Jules	2017	1	1/24/2003
The James and Debbie Cho Foundation				Deirdre Judge	2017	1	6/27/2014
3075 Wilshire, LLC				Deirdre Judge	2017	1	11/8/2013
Noah B. Mamet Revocable Trust				Deirdre Judge	2017	1	2/13/2013
A-GRADE INVESTMENTS II LLC				Deirdre Judge	2017	1	11/15/2011
Antelope Insurance Company, Inc.				Deirdre Judge	2017	1	12/29/2009
Julianna Eva Pyott Trust est 06/20/2014				Jake Block	2017	1	9/10/2014
David E.I. Pyott Trust dtd 04/18/2014				Jake Block	2017	1	9/10/2014
Gemini IP, LLC				Joanne Jensen	2017	1	12/17/2014
AFSF II AIV Investors - D L.P.				Joanne Jensen	2017	1	12/5/2014
Blackstone Property Partners L.P.				Joanne Jensen	2017	1	11/20/2014
Blackstone Property Partners Lower Fund 1 L.P. 0/2014				Joanne Jensen	2017	1	11/2
AFSF II AIV-D LP				Joanne Jensen	2017	1	12/5/2014
Tyler Winklevoss Family Exchange Trust				Joanne Jensen	2017	1	10/23/2014
Cameron Winklevoss Family Exchange Trust 3/2014				Joanne Jensen	2017	1	10/2
Do It Again, LLC				Joanne Jensen	2017	1	12/5/2014
Bee's Center Films LLC				Joanne Jensen	2017	1	11/20/2014
LHRB LLC				Joanne Jensen	2017	1	11/20/2014
Arbiter Special Opportunities Fund II LP /2014				Joanne Jensen	2017	1	9/25
Arbiter Special Opportunities Fund I LP				Joanne Jensen	2017	1	9/25/2014
Casterlirock Holdings, LLC				Joanne Jensen	2017	1	4/16/2014
Zelenko-Kuller, Jill				Joanne Jensen	2017	1	10/21/2014
Winklevoss, Tyler				Joanne Jensen	2017	1	5/29/2012
Winklevoss, Cameron				Joanne Jensen	2017	1	5/29/2012
20 East 64th Street, LLC				Joanne Jensen	2017	1	7/18/2011
EDF LLC				Joanne Jensen	2017	1	11/21/2011
Jolli Four, LLC				Joanne Jensen	2017	1	12/20/2010
Hymowitz, Gregg				Joanne Jensen	2017	1	12/14/2010
WS Paley 68 Prmry Tr SC Burden III Et Al /2014				Rachel Maglicic	2017	1	2/25
WS Paley 68 Suppl Tr SC Burden III Et Al /2014				Rachel Maglicic	2017	1	2/26

Batmasian, James H.	[REDACTED]	Rachel Maglicic	2017	1	3/8/2013
Profile Property Trust	[REDACTED]	Susan Moffat	2017	1	8/7/2009

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US-Onshore_HRIPM_PastDue

Customer Name Explanation	Customer Number Bank	Primary Officer Auto Exempt Reason	High Risk Client	InPerson Meeting Since Date	Due Year	Past-Due	Exp
Budinger, William M.		Terrence Tangney		2004	1	5/30/2001	
STB Holdings L.P.		Michael S. Jacoby		2016	1	9/26/2013	
Marjorie S Daitch Revocable Trust /2013			Salvatore E. Moore			2016	1 7/22
John L. Loeb Associates, Inc. Employee Pension Plan 1 5/9/2013						Salvatore E. Moore	2016
Loeb Jr, John		Salvatore E. Moore		2016	1	3/27/2013	
Smith, Robert		Salvatore E. Moore		1995	1	4/14/1992	
Donaldson, William H.		Salvatore E. Moore		2013	1	6/24/2003	
GNLC Holdings, Inc.		Malcolm Kimble		2015	1	11/20/2013	
Fertitta, Tilman		Malcolm Kimble		2015	1	12/31/2012	
The Mercer Family 2009 Non-Exempt Trust 2016 1 7/3/2013		f/b/o Rebekah Mercer				Mary Ann Coleman	
The Mercer Family 2009 Non-Exempt Trust eman 2016 1 7/3/2013		f/b/o Jennifer L. Mercer				Mary Ann Col	
The Mercer Family 2009 Non-Exempt Trust eman 2016 1 7/3/2013		f/b/o Heather Sue Mercer				Mary Ann Col	
Meritage Group LP		Terri Sohrab		2006	1	12/12/2014	
GoldenTree SG GP LLC		Terri Sohrab		2016	1	11/13/2013	
GT NM GP LLC		Terri Sohrab		2016	1	6/27/2013	
GOLDENTREE REINVESTMENT VEHICLE LLC		Terri Sohrab		2015	1	12/17/2012	
GoldenTree GTIS SPV LLC		Terri Sohrab		2015	1	6/21/2012	
GOLDENTREE SPC LLC		Terri Sohrab		2013	1	1/19/2011	
GoldenTree Asset Management (Ireland) Limited /2010			Terri Sohrab			2013	1 8/19
GTAM Allied LLC		Terri Sohrab		2013	1	10/6/2010	
GoldenTree Leverage Loan Manager LLC		Terri Sohrab		2011	1	12/16/2008	
GoldenTree Leverage Loan GP LLC 00000420547		Terri Sohrab		2011	1	5/23/2008	
GTIS REOF I SPONSOR LLC		Terri Sohrab		2009	1	2/15/2007	
GTAM Opportunities, LLC		Terri Sohrab		2009	1	12/8/2006	
GoldenTree Credit Opportunities GP LLC		Terri Sohrab		2009	1	12/8/2006	
GoldenTree Capital Partners, LLC		Terri Sohrab		2009	1	12/8/2006	
Zappala, Joseph		Joanne Jensen		2016	1	4/17/2013	
Levitt Jr., Arthur		Joanne Jensen		2016	1	12/22/2009	
MARY ELIZABETH BUNZEL 2009 IRREVOCABLE TRUST 1 1/10/2013		UAD 09/11/09				Joanne Jensen	2016
Bunzel, Mary		Joanne Jensen		2016	1	1/8/2013	
Bunzel, Maxwell		Joanne Jensen		2016	1	1/15/2013	
Bunzel, Eli		Joanne Jensen		2016	1	9/4/2013	
Erica P Terpstra Irrev Trust			Rachel Maglicic	2011	1	4/17/2003	
Plan D, LLC		Stewart Oldfield		2016	1	10/18/2013	
JEJE, LLC		Stewart Oldfield		2016	1	10/18/2013	
MST TRUST dtd 03/13/2000			Susan Moffat	2016	1	12/4/2000	

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US-Onshore_TempExceptDue

Temporary Exceptions- Domestic

Overdue by more than 90 days/Closing Queue Due in

Overdue by more than 60 days

Overdue by more than 30 days

Case Number	Customer Number	Customer Name	Customer Record Type	Relationship Number	Cust
Owner	Exception Expires	Reason for Exception (If Applicable)	EM	Days	Overdue
MSR Silo					
01818861		La Mesa Homes, LLC	Client	Dan Gray	11/1
8/2017 The standard 90 days temporary exception for executed trust agreement, TIN, and date of incorporation has been granted for this KYC.					
		russell daulton -17		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	
		US-Onshore			
01840031		Dina Wind Art Foundation	Client	Terrence Tan	
gney	11/23/2017	30 days exception approved by Compliance for the IRS exemption letter		Andr	
ew F Gallivan	-22	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore	
01684903		Fanjul, Alfonso Prospect		Oti Roberts	12/2
0/2017 EXTENDED -- The standard 90 days temporary exception for executed trust agreement, TIN, and date of incorporation has been granted for this KYC. 60 days extension approved on 3/21/17.					
		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore	-49
01740136		Barrack, Jr., Thomas J. Client		Susan Moffat	12/1
/2017	Lee Huter	-30	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-O
nshore					
01783091		Leslie W Davies Revocable Trust of 1988 U/A DTD 9/1/1988		Clie	
nt		Michael King	11/15/2017	Please see email attached for Temporary Exce	
ption for Client meeting		Michael Jacoby	-14	Armen Brash, Andrew Galivan, Michael J. Davi	
s, Michael Jacoby		US-Onshore			

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US-Onshore_TmpExcptOver

Temporary Exceptions- Domestic (All Overdue) 11/1/2017

Overdue by more than 90 days/Closing Queue

Overdue by more than 60 days

Overdue by more than 30 days

Case Number	Customer Number	Customer Name	Customer Record Type	Relationship Number	Cust
Owner	Exception Expires	Reason for Exception (If Applicable)		Days Overdue	MSR
Silo 01819456		Batmasian, Marta	Client		
/2017 To monitor ongoing litigation.	246	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		Rachel Maglicic	2/28
01755879		Capital University	Client		
5/26/2017	EXCEPTION HAS BEEN EXTENDED 30-day temp exception for full KYC info in compliance with updated policy	159	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	
01758071		Durwood Wilmot Ringo Revocable Trust	Client		
Terrence Tangney	42881	EXCEPTION HAS BEEN EXTENDED TE to complete all the fields in the KYC profile including the Volcker flag.	159	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01758149		Patricia Louise Ringo Revocable Trust	Client		
Terrence Tangney	42881	EXCEPTION HAS BEEN EXTENDED TE to complete all the fields in the KYC profile including the Volcker flag.	159	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01772858		J & L Family LP Client		Salvatore E. Moore	6/25
/2017 Temporary exception approved for 30 days to obtain a updated and clear signatory list from 1919 Investment Counsel	129	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore	
01802177		BENJAMIN F BAILAR TRUST	Client		
8/28/2017	Temporary exception to collect beneficiaries' information required in the new policy . Exception will clear upon closure of the account.	65	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	
01774886		Limestone Partners	Client		
42979 Kerry (LPOA)'s summary of civil suits.	61	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		Andrea Nicoletti	
01813239		TradeInvest Financial Holdings Ltd	Client		
i Sohrab	9/8/2017	CRP	54	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01772929		Erica P. Terpstra Revocable Trust	Prospect		
Rachel Maglicic 9/14/2017	48	90-day exception for tax ID number and executed trust agreement.		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01795534		The John V. Gibson Revocable Trust for Jessica Gibson	Client		
Brian Convey	10/5/2017	Standard 90-day exception for TIN, inception date and fully-executed document.	27	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01752644		Batmasian, Marta	Client		
/2017 Monitoring of ongoing litigation.	26	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		Rachel Maglicic	10/6
01795679		Spencer Family GRAT C	Client		
0/2017 standard 90-day temp exception for executed trust document/TIN	22	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		Liz Payne	10/1
01813809		Blackstone Tactical Opportunities Fund II L.P.	Prospect		
Joanne Jensen	10/31/2017	Borrowers' resolution	1	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore

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Acct Opening Exceptions

Case Number	Customer Name	Opened Date	Description	Exception Expires	Reason for E
01823138	GoldenTree Asset Management UK LLP	8/31/2017		temporary exception on the C	
01754160	BPP F.1 DE Viking 3 LP	3/23/2017		temporary exception on the CRP for G	
01443412	Axia Realty, LLC	8/21/2015	ABR, Please vett the signers and approve the case with W-9 Please open a checking account for Axia Realty, LLC. There is already a money market account opened for this entity. KYC: 01352638 NAO: 10157045 Please email [REDACTED] with the account # once the account is opened. Thank you.	9/8/2015	Updated LLC Resoluti

30 day exception for CRP for the following a
 ccounts: BPP F.1 DE Viking LP (Contributing) 42966962 BPP F.1 DE Viking LP (Operating) 42966970 BPP
 F.1 DE Viking 2 LP (Contributing) 42966989 BPP F.1 DE Viking 2 LP (Operating) 42966997 BPP F.1 DE Vi
 king 3 LP (Contributing) 42967009 BPP F.1 DE Viking 3 LP (Operating) 42967017 BPP F.1 DE Viking 4 LP
 (Contributing) 42967041 BPP F.1 DE Viking 4 LP (Operating) 42967068 BPP F.2 DE Viking LP (Contribut
 ing) 42967076 BPP F.2 DE Viking LP (Operating) 42967498 BPP F.2 DE Viking 2 LP (Contributing) 429670
 84 BPP F.2 DE Viking 2 LP (Operating) 42967092 BPP F.2 DE Viking 3 LP (Contributing) 42967105 BPP F.
 2 DE Viking 3 LP (Operating) 42967113 4/21/2017 30 day CRP exception for 18 entities N
 142

N 565
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