

Customer Number	Customer Name	Type	* High Risk	* Moderate Risk	Annual Client Update	Due Date
Auto Exempt Reason	Exemption Reason	Exemption Reason	Customer	Owner		
	Simons Foundation	Client	N	N	4/5/2017	Mary Ann Coleman
	S. D. Malkin Properties, Inc.	Client	Y	N	4/6/2017	Mary Ann Col
	SDMP Services, Inc	Client	Y	N	4/6/2017	Corporate/PIC/Other
	nts - See Owner/Siganatory's ACU	Mary Ann Coleman				
	Malkin, Scott D.	Client	Y	N	4/21/2017	Corporate/Business A
	Ann Coleman					
	The Tavakoli Family Foundation	Client	N	N	5/6/2017	Mary Ann Col
	Glen Eagle Partners Ltd.	Client	N	Y	5/9/2017	Mary Ann Col
	The Roxborough Trust	Client	N	N	6/8/2017	Mary Ann Coleman
	Sale, Julian	Client	N	N	7/20/2017	Mary Ann Coleman
	Brenninkmeijer, Julie E.	Client	N	N	7/26/2017	Mary Ann Col
	Brenninkmeijer, Elise M.	Client	N	N	7/26/2017	Mary Ann Col
	Brenninkmeijer, Laura N.	Client	N	N	7/26/2017	Mary Ann Col
	Gabelli, Marc	Client	N	Y	8/23/2017	Mary Ann Coleman
	The Jennifer L. Mercer Revocable Trust	dtd. 12/23/2011	Client	N	Y	9/1/
	Ann Coleman					
	Bhat, Nityanand	Client	N	Y	9/1/2017	Mary Ann Coleman
	Nesis, Roman Aleksandrovich	Client	N	Y	9/6/2017	Mary Ann Col
	Mercer, Rebekah A.	Client	N	N	9/19/2017	Mary Ann Coleman
	Mercer Mirochnikoff GST LLC	Client	N	Y	9/27/2017	Mary Ann Col
	H/D Investors Fund L.P.	Client	N	Y	10/4/2017	Mary Ann Coleman
	DVG 1740 Fund LP	Client	Y	N	10/4/2017	Mary Ann Coleman
	YD SMA LLC	Client	N	Y	10/4/2017	Mary Ann Coleman
	Deccan Value Investors BPI Fund LP	Client	N	Y	10/4/2017	Mary
	DVI Fund (Mauritius) Ltd.	Client	N	Y	10/4/2017	Mary Ann Col
	M/D Investors Fund LP	Client	N	Y	10/4/2017	Mary Ann Coleman
	Deccan Value Investors LP	Client	N	Y	10/4/2017	Mary Ann Col
	A/D Investors Fund LP	Client	N	Y	10/4/2017	Mary Ann Coleman
	Deccan Value Investors Fund LP	Client	N	Y	10/4/2017	Mary Ann Col
	Veda Investors Fund LP	Client	N	Y	10/4/2017	Mary Ann Coleman
	Bodas, Vinit	Client	N	N	10/4/2017	Mary Ann Coleman
	Dirnad Fund LP	Client	N	Y	10/13/2017	Mary Ann Coleman
	DBTCA As Escrow Agent for Fox River OUI	Client	N	N	10/14/2017	Mary
	The Hawk 3A 2015 GST Trust	Client	Y	N	10/16/2017	Mary Ann Col
	Templeton World Charity Foundation, Inc.	Client	N	Y	10/19/2017	
	eman					
	Huizhi Fund LP	Client	N	Y	10/28/2017	Mary Ann Coleman
	Chao 2000 Trust	Client	N	N	11/3/2017	Mary Ann Coleman
	Mercer, Robert L	Client	N	Y	11/3/2017	Mary Ann Coleman
	Equinimity, LLC	Client	N	Y	11/14/2017	Mary Ann Coleman
	Lynch, Joseph A.	Client	N	N	11/14/2017	Mary Ann Coleman
	Bonnie, Edward S.	Client	N	N	12/2/2017	Mary Ann Coleman
	E. S. Bonnie Trust S. W. B. & R. F. B. TTEES	Client	N	N	12/2/2017	
	eman					
	The Hawk 4B 2016 Trust LLC	Client	N	N	12/5/2017	Mary Ann Col
	The Hawk 3AB 2016 Trust LLC	Client	N	Y	12/5/2017	Mary Ann Col
	Yablon, Lawrence	Client	N	N	12/5/2017	Mary Ann Coleman
	Yablon, Babette	Client	N	N	12/5/2017	Mary Ann Coleman
	GreenFlow MB II LLC	Client	N	Y	12/5/2017	Mary Ann Coleman
	GreenFlow MB LLC	Client	N	Y	12/5/2017	Mary Ann Coleman
	EML Investments LLC	Client	N	Y	12/5/2017	Mary Ann Coleman
	Yablon, Bruce	Client	N	N	12/5/2017	Mary Ann Coleman
	Yablon, Leonard H.	Client	N	N	12/6/2017	Mary Ann Coleman
	Easier (Bvi) Ltd	Client	N	Y	12/6/2017	Mary Ann Coleman
	SHZ Aviation LLC	Client	N	N	12/7/2017	Mary Ann Coleman
	Sterling Stamos Levered (Offshore) Fund, Ltd.	Client	N	N	12/8/2017	
	eman					
	DVI PE (Mauritius) Ltd	Client	Y	N	12/15/2017	Mary Ann Coleman
	Hartz Capital, Inc.	Client	N	Y	1/5/2018	Mary Ann Coleman
	Alerion Strategies Holdings Ltd	Client	Y	N	1/5/2018	Mary Ann Col

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Fourteen Rings, LLC	Client	N	N	1/13/2018	Mary Ann Coleman
Brown & Zhou LLC	Client	N	Y	1/13/2018	Mary Ann Coleman
Mercer Family Foundation	Client	N	Y	1/13/2018	Mary Ann Col
The Mercer Family LLC	Client	N	Y	1/13/2018	Mary Ann Coleman
Ma-Toy Trust	Client	N	N	1/13/2018	Mary Ann Coleman
Hirschhorn, Barbara B	Client	N	N	1/17/2018	Mary Ann Coleman
Nina Fund LP	Client	N	Y	1/22/2018	Mary Ann Coleman
Safelink Rental Feeder LLC	Client	N	Y	1/22/2018	Mary Ann Col
Tabizuru Foundation	Client	N	N	2/23/2018	Mary Ann Coleman
Giordano, Mark V.	Client	N	Y	2/24/2018	Mary Ann Coleman
Faithfulness Limited	Client	N	Y	3/8/2018	Mary Ann Coleman
Humility Ltd.	Client	N	Y	3/8/2018	Mary Ann Coleman
Templeton Religion Trust	Client	N	Y	3/8/2018	Mary Ann Col
Eternity, Ltd.	Client	N	Y	3/8/2018	Mary Ann Coleman
Leonard N. Stern Family Trust	Client	Y	N	3/22/2018	Mary Ann Col
SL 2005 Family Trust	Client	Y	N	3/23/2018	Mary Ann Coleman
Discerene Fund LP	Client	N	Y	3/23/2018	Mary Ann Coleman
Mercer, Heather Sue	Client	N	N	3/23/2018	Mary Ann Coleman
SL 2005 Sub One, LLC	Client	Y	N	3/28/2018	Mary Ann Coleman
The Mercer Family 2009 Non-Exempt Trust	f/b/o Rebekah Mercer	Client	Y	N	
Mary Ann Coleman					
The Mercer Family 2009 Non-Exempt Trust	f/b/o Jennifer L. Mercer	Client	Y		
9/2018	Mary Ann Coleman				
The Mercer Family 2009 Non-Exempt Trust	f/b/o Heather Sue Mercer	Client	Y		
9/2018	Mary Ann Coleman				
The 2012 Diana L. Mercer Family GST Trust	Client	Y	N	3/29/2018	

Mary Ann Coleman

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