

Gonzalez									
Customer Number	Customer Name	Type	* High Risk	* Moderate Risk	Annual Client Update	Due Date			
e	Auto Exempt Reason	Exemption Reason	Exemption Reason	Customer Owner					
	Skychai Corporation Ltd.	Client	N	Y	7/6/2017		Mark Gonzalez		
	Riverside Europe Fund III, LP	Client	N	Y	8/11/2017		Mark Gonzalez		
	MAGCAP, LTD.	Client	Y	N	9/9/2017		Mark Gonzalez		
	Alsis Latin America Fund II LP	Client	Y	N	9/20/2017		Mark Gonzalez		
	Civitas Canyon Mezzanine Fund, LP	Client	N	Y	9/23/2017		Mark Gonzalez		
	Civitas Race Street Fund, LP	Client	N	Y	9/23/2017		Mark Gonzalez		
	Civitas Strand Fund, LP	Client	N	Y	9/23/2017		Mark Gonzalez		
	555 W 23 N4R LLC	Client	Y	N	9/29/2017		Mark Gonzalez		
	435 E 76 3D LLC	Client	Y	N	9/29/2017		Mark Gonzalez		
	2255 ACPB PHA LLC	Client	N	Y	9/29/2017		Mark Gonzalez		
	67 Liberty PHB LLC	Client	Y	N	9/29/2017		Mark Gonzalez		
	635 W 42 7E LLC	Client	Y	N	9/29/2017		Mark Gonzalez		
	M K Reichert Sternlicht Foundation	Client	N	Y	10/11/2017		Mark Gonzalez		
	Dauphin Fletcher, Aurelie	Client	N	Y	10/13/2017		Mark Gonzalez		
	Bal Harbour 1604N, LLC	Client	Y	N	10/26/2017		Mark Gonzalez		
	First & 91st LLC	Client	Y	N	10/26/2017		Mark Gonzalez		
	Forkosh, Alexander	Client	Y	N	10/26/2017		Mark Gonzalez		
	Alternative Solutions Insurance Company, Ltd, SPC	Client	N	Y			Mark Gonzalez		11/9
	Civitas State Thomas Fund, LP	Client	N	Y	11/16/2017		Mark Gonzalez		
	Eli Wilner LLC	Client	N	Y	11/17/2017		Mark Gonzalez		
	Trigo, Santiago	Client	N	N	11/25/2017		Mark Gonzalez		
	Civitas Hudson Exchange Fund, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas TCR Mezzanine Fund I, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas ST Investors, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas TCR Downtown Equity, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas Hotel Alessandra Fund, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas Permian Basin Hotels, LP	Client	N	Y	11/28/2017		Mark Gonzalez		
	Civitas Capital Management, LLC	Client	N	Y	11/28/2017		Mark Gonzalez		
	Eastern Re Ltd. SPC	Client	N	Y	11/29/2017		Mark Gonzalez		
	WILLIAM BLAIR GLOBAL COMMODITY SPECIALIST FUND LLC	Client	N	Y			Mark Gonzalez		12/1
	WILLIAM BLAIR GREEN TERRAIN DISBURSEMENT FUND LLC	Client	N	Y			Mark Gonzalez		12/1
	WILLIAM BLAIR GREEN TERRAIN FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR GCS SPV, LLC	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR GREEN TERRAIN TE FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR MANAGED FUTURES FUND LLC.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR BLUE TERRAIN TE FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR MARBLE PLACE TE FUND, L.P..	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR MASTER FUND, LLC	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR BLUE TERRAIN FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR BLACK TERRAIN TE FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR BLACK TERRAIN FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR ALL TERRAIN TE FUND, L. P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	WILLIAM BLAIR ALL TERRAIN FUND, L.P.	Client	N	Y	12/1/2017		Mark Gonzalez		
	William Blair SG Capital SPV, LLC	Client	N	Y	12/1/2017		Mark Gonzalez		
	Pereira, Michael B	Client	N	N	12/2/2017		Mark Gonzalez		

CaroMont Insurance Services Ltd.	Client	N	Y	12/8/2017	Mark
Civitas Garnet Fund, LP	Client	N	Y	12/12/2017	Mark Gonzalez
Civitas M&M Mezzanine Fund, LP	Client	N	Y	12/12/2017	Mark Gonzale
Civitas EB-5 Fund 21, LP	Client	N	Y	12/12/2017	Mark Gonzale
Zahringer, Alexander	Client	N	N	12/12/2017	Mark Gonzalez
Zahringer, Anne C.	Client	N	N	12/12/2017	Mark Gonzalez
Zahringer, III, George J.	Client	N	N	12/12/2017	Mark Gonzalez
Duff, Mary	Client	N	N	12/15/2017	Mark Gonzalez
GUIDANCE ENHANCED GREEN TERRAIN FUND LLC	Client	N	Y	12/22/2017	
TanCayman Insurance Company SPC, Ltd.	Client	N	Y	1/5/2018	Mark
Bedrock Finance Ltd.	Client	Y	N	1/9/2018	Mark Gonzalez
Seahawk Trading Corp.	Client	Y	N	1/9/2018	Mark Gonzalez
Furman, Gail	Client	Y	N	1/9/2018	Mark Gonzalez
Civitas Huntington Beach Hotel Fund, LP	Client	N	Y	1/20/2018	Mark
Miriam Klein Sternlicht Revocable Trust	Client	N	Y	1/23/2018	Mark
Duran, Louise	Client	N	Y	2/15/2018	Mark Gonzalez
Duran, Chris	Client	N	Y	2/15/2018	Mark Gonzalez
Gapstow Community Financials Fund LP	Client	Y	N	3/2/2018	Mark
Gapstow Credit & Special Situations Master Fund LP	Client	Y	N	3/2/	
CJA Public Private Multi Manager Master Fund, L.P.	Client	Y	N	3/2/	
CJA Private Equity Financial Restructuring Master Fund I, L.P.	Client	Y	N		
Gapstow Real Estate Yield Master Fund, L.P.	Client	Y	N	3/2/2018	
Gapstow Opportunity Master Fund, LP	Client	Y	N	3/2/2018	Mark
Gapstow Capital Partners LP	Client	Y	N	3/2/2018	Mark Gonzale
Gapstow Structured Credit Master Fund LP	Client	Y	N	3/2/2018	
Sternlicht, Miriam	Client	N	N	3/13/2018	Mark Gonzalez
Sidhom, Rafik	Client	N	Y	3/16/2018	Mark Gonzalez
DBTCA as Trustee for the Benefit of Safety National Casualty Corporation					Clie
WILLIAM BLAIR MARBLE PLACE FUND L.P.	Client	N	Y	3/22/2018	Mark
United Integrity Assurance Ltd.	Client	N	Y	3/24/2018	Mark Gonzale
CAB Holding LP	Client	N	N	5/15/2018	Mark Gonzalez
Ross, Richard	Client	N	N	10/24/2018	Mark Gonzalez

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