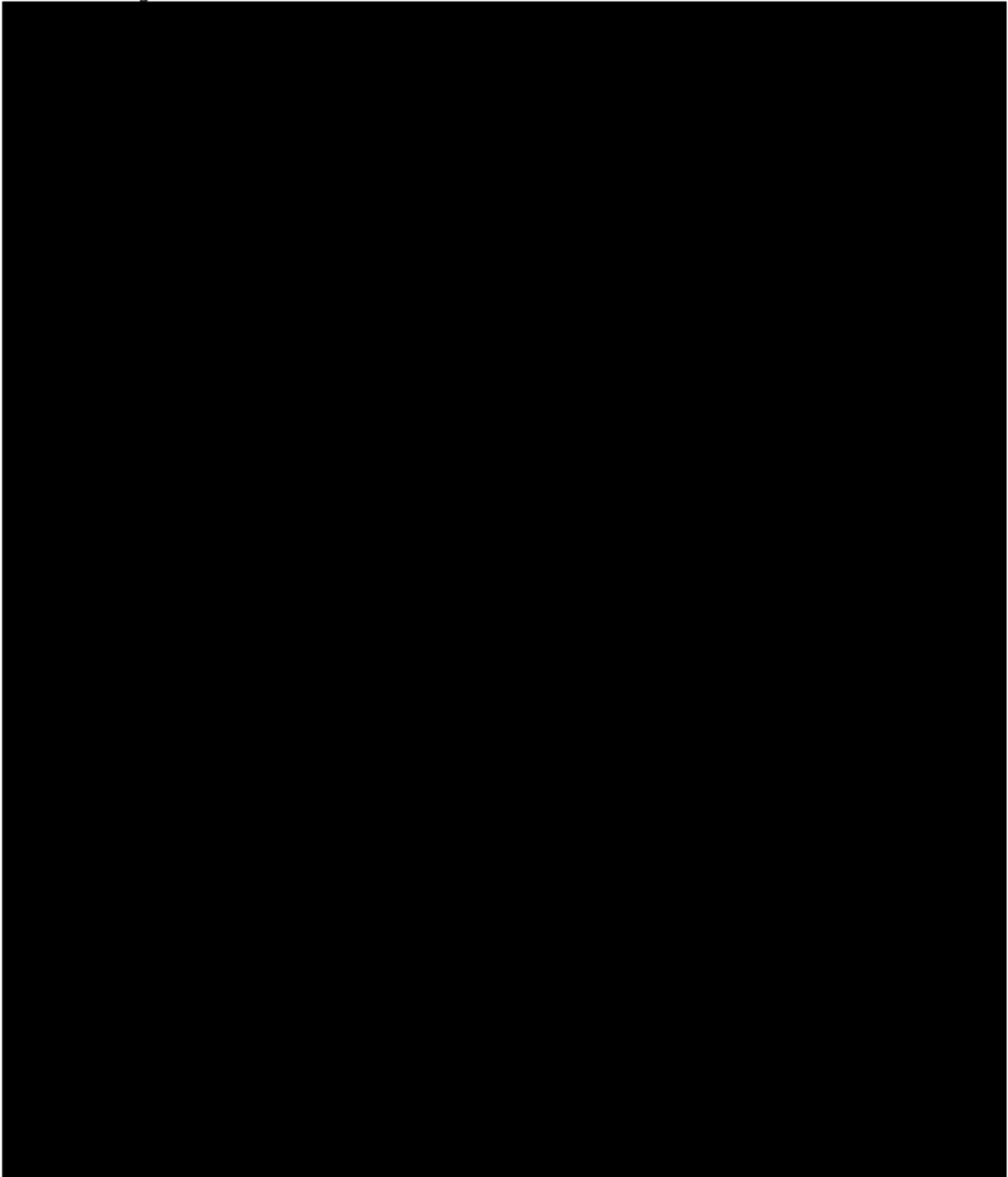
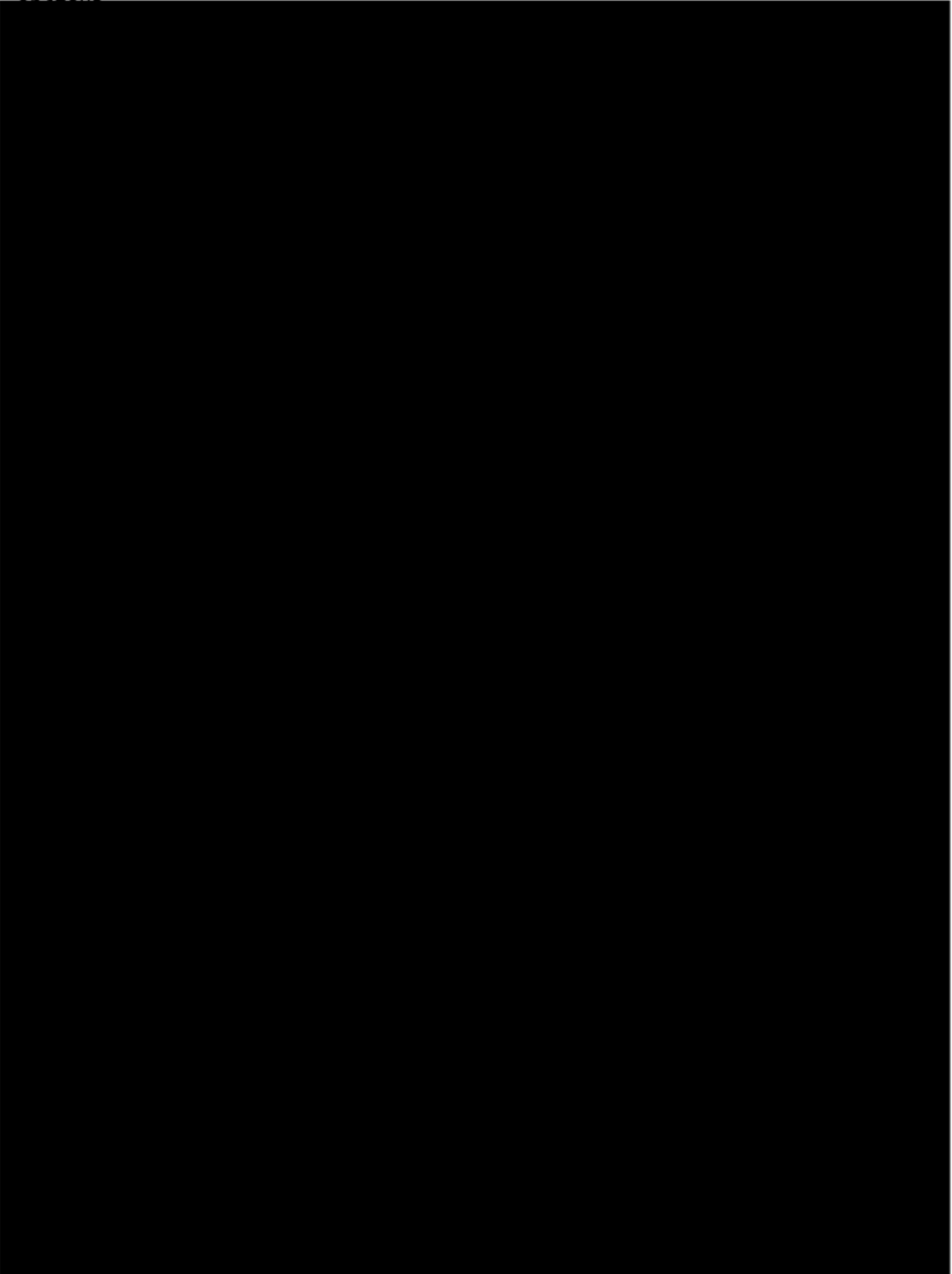



WM

Onboarding Type	Division	Priority	KYC Type	Date Started	Client Name	Age	Product/Account	Rel Cor
COB Status	Pending	With	IWP	Contact	COB Contact/ Banker	Issues/Comments		
Outstanding								



-Options





Stewart Oldfield            KYC is with the banker, needs to confirm no  
involvement with Epstein.  
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CIB						
Onboarding Division	Account Product/Account COB Contact/Rel Banker	KYC Type	Priority	Client Name	dbCAR ID/- Date Started	Age
Issues/Comments	Outstanding	COB Status	Pending With	IWP Contact		
Global Markets	Remediation	Inversiones Alabama Limitada				
1016136898	N/A High	1/12/2017	764	Tiele Aldridge		
In Progress	Client;AFC	Martin Zeman	1.	Awaiting updated W8 from client.		
				2. Provided name clarification to AFC, pending final approval from AFC.		
Global Markets	Remediation	Seminole Capital Partners, L.P				
1000078557	N/A High	12/24/2018	53	Andrea Sandven		
On Hold Client	Joshua Shoshan	Gregory J Kiesel		Pending with G.K		
				as of 1.16.19 client has not responded		
Global Markets	Remediation	Cantillon Capital Management LLC				
1000024165	N/A Low	12/24/2018	51	Jamaal Bushara		
On Hold	Joshua Shoshan	Gregory J Kiesel		Pending with G.K		
Global Markets	Remediation	Deprince, Race & Zollo	1000050019			N/-
A	High	12/24/2018	51	Jamaal Bushara	On Hold Client	
Martin Zeman	Gregory J Kiesel			Pending with G.K as of 1.16.19		
				client has not responded		
Global Markets	NCA	Bass Brothers Taylor & Company	N/A	N/A		
Low	12/24/2018	51	Yasmeen Alim	On Hold IWP	Joshua	
Shoshan	Gregory J Kiesel			Pending with business to provide BSF from		
Global Markets	NCA	Salient Partners	N/A	N/A	Low	
12/24/2018	51	Yasmeen Alim	On Hold COB	Joshua Shoshan		
Gregory J Kiesel				Pending with G.K		
Global Markets	Remediation	Sheffield Asset Management				
1000077095	N/A Low	12/24/2018	45	Andrea Sandven		
On Hold Client	Joshua Shoshan	Gregory J Kiesel		On hold until		
				further conversation with client		
Global Markets	Remediation	Simco Investment Management				
1001146566	N/A Low	12/24/2018	45	Yasmeen Alim		
In Progress	COB	Alan Brody		(Pascal - underlying principal)		
				ACO has approved		
Global Markets	NCA	Jeffrey D. Murray Tst	N/A	GED	Medium	
1/11/2019	35	Erik Lutkus	In Progress	Client;IWP		
Joshua Shoshan				Client provided docs however some were incomplete. IWP to		
				sent back to client for completion 2.14.19		
Global Markets	NCA	Laura A. Murray Tst	N/A	GED	Medium	
1/11/2019	35	Erik Lutkus	In Progress	Client;IWP		
Joshua Shoshan				Client provided docs however some were incomplete. IWP to		
				sent back to client for completion 2.14.19		
Global Markets	NCA	Katelyn J. Murray Tst	N/A	GED	Medium	
1/11/2019	35	Erik Lutkus	In Progress	Client;IWP		
Joshua Shoshan				Client provided docs however some were incomplete. IWP to		
				sent back to client for completion 2.14.19		
Global Markets	Refresh;Extension	Equity Investments LP				
1009171312	OTC Rates	Medium	1/16/2019	29	Andrea	
Sandven	In Progress	Client	Alan Brody	Pending with client		
Global Markets	NCA	Fox Growth Fund Inc.	N/A	FX	Medium	

2/1/2019 13 In Progress Client Martin Zeman Roberto  
 Teofilo NCA list sent to client, waiting on client to respond 2.01.2019 -  
 Liam spoke to them 2.12.19 - they should send by end of week  
 Global Markets NCA DA Brazil (Fund) N/A Fixed Income  
 Low 2/1/2019 12 Not Yet Started COB Alan Brody  
 Terri Sohrab Need list from COB. DA Capital LLC=IM  
 Global Markets NCA Black Maple Capital Partners N/A Fixed  
 Income High 2/8/2019 7 Jamaal Bushara In Progress  
 Client Alan Brody List of NCA requirements have been sent to client  
 2.8.2019, awaiting client response  
 Global Markets Remediation Lynrock Lake 1016083002 N/A  
 High 2/13/2019 2 Jamaal Bushara In Progress IWP  
 Alan Brody Gregory J Kiesel COB sent list of requirements  
 2.15.2019. IWP reviewing prior to sending to client  
 Global Markets Refresh;Extension DA Capital LLC 1000851282  
 Fixed Income High 2/13/2019 2 In Progress  
 Client;IWP Alan Brody Terri Sohrab COB sent list of  
 requirements 2.15.2019. IWP reviewing prior to sending with client.  
 Global Markets Refresh;Extension Staple Street Global Opportunities  
 (Master) L.P 1007957018 Possibly - Credit Derivatives, FX rates  
 High 2/13/2019 2 Not Yet Started COB Alan Brody  
 Terri Sohrab Need list from COB. Sent ask 2.13.19. Need to specify  
 extension product, but just refresh for now. DA Capital LLC=Investment  
 Manager  
 Global Markets Remediation W De Argentina Inversiones S.A  
 1007979444 N/A High 2/13/2019 2 Not Yet Started  
 COB Billy Obregon Need to remediate. Need list from COB. Sent ask  
 2.13.19  
 Global Markets Extension Petrus Yield Opportunity Fund  
 1003934890 Fixed Income Low 2/15/2019 0 Andrea  
 Sandven On Hold IWP Alan Brody Loans was fixed. Low priority for  
 Alan, on hold for now  
 Global Markets NCA DA Venezuela (Fund) N/A Fixed Income  
 Low 2/15/2019 0 Not Yet Started COB Alan Brody  
 Terri Sohrab DA Capital LLC=IM  
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