

Sheet1

Annual Client Update: ID	Customer Number	Customer Name	Relationship	Material Changes
A15. Client Status Update Description	COMMENTS			
63943 00000483289	Epstein, Jeffrey	SOUTHERN FINANCIAL RELATIONSHIP	Jeffrey has not had any circumstantial changes	AML to Close
- KYC Done #01221773	Closed	Darren Indyke was added as POA to Jeffrey's accounts		
62353 00000423154	Katzman, John	KATZMAN, JOHN RELATIONSHIP	Client is currently building out a new company called noodle.org	AML to Close - KYC Done #01296046
64586 00000235281	Dixon, Wesley M	SEARLE FAMILY RELATIONSHIP	See above. Client has passed away. Client has passed away - see above. This event was documented in KYC case #01251849 for the Estate of Wesley M. Dixon Jr.	Closed
63419 00000487441	KASTEGE S.A.	KASTEGE S.A.RELATIONSHIP	Mr. Federico Lachner, and his son Karl are dedicated to construction, and engineering. Income derives from projects, and developments. Mr. Karl Lachner informed that his father passed away last June. A certified copy of the Death Certificate will be sent next week. Expected by July 30, 2014.	AML to Close - KYC Done #01298469
53345 00000442394	Indigo Blue Finance Limited	COMPANIA TECNOLOGIA RELATIONSHIP	The Chulani family owns jewelry, perfumes, and electronic stores. Mr. Tikamdas Chulani is the registered holder of 1,000 shares of the company. Mr. Chulani passed away.	AML to Close - KYC Done #1010703
53260 917	Northumbria Corporation	BERNARDO BIRMAN RELATIONSHIP	Bernardo is now vice-president of Northumbria Corp, a PIC which holds several business ventures that are under a family trust where he is the beneficiary. Per his lawyers, they are preparing the paperwork so he can be the joint owner along with the existing owner which is his grandmother. Once documents are received I will update the KYC. Bernardo makes 250m usd in income from local investments. Bernardo Birmann is in the process of joint owning Northumbria with his grandmother. The lawyers will provide me with the documents in the next couple of weeks. I will update the KYC accordingly.	AML to Close - KYC Done #01253754
60762 00000472983	Marco, LP	THE BOSARGE FAMILY RELATIONSHIP	currently invested in a diverse fixed income portfolio and cash. adding & deleted signatories, David Houston should be removed. Darla Tollefson, Tyson T Voelkel, Mark A Russell are being added.	AML to Close - KYC Done #01179732
63206 00000000156	Luksic, Guillermo	LUKSIC, GUIL RELATIONSHIP	Client is deceased	AML to Close
Client is deceased. KYC 1129514 was already done to record his death from cancer.				
- KYC Done #01129514	Closed			
58406 00000464790	LBF Consulting Services B.C. LTD	RAMIREZ RELATIONSHIP	No material changes - consulting fees are relatively stable to last year's fees. One of the partners recently passed away - there is going to be changes to the signatories in the account. The client has not yet specified if a new signatory is to be added.	AML to Close - KYC Done #01292698
64539 00000440395	Ramirez Villalon, Eduardo Florentino	RAMIREZ RELATIONSHIP	family business continues to expand specially into India. relationship is opening a new account in Hamburg for corporate needs. The account will hold approx \$80mm	AML to Close - KYC Done #1292698
63940 00000483882	Southern Financial LLC	SOUTHERN FINANCIAL RELATIONSHIP	No other changes	
Darren Indyke was added as POA to the account				AML to Close - KYC Done #01221773
64608 00000448096	The Stephen C. Schott 1984 Trust	SCHOTT, STEPHEN C. RELATIONSHIP	10-21-2014: Client is investing \$20MM in Private Equity fund, KKR and has already deposited the full amount. The client's income producing activities include rental income from an apartment building in Cupertino, income from their 600MM+ investments primarily held in Bonds. The client is getting ready to start a new project in Milpitas, CA and we may provide a loan, but this is in the beginning stages.	
10-21-2014: Client is investing \$20MM in Private Equity fund, KKR and has already deposited the full amount.				AML to Close - No Material Change
62807 00000427067	Taylor, Lynda Benvenuti	TAYLOR, LYNDA BENVENUTI RELATIONSHIP	Real Estate Investments and securities transactions Client added approximately \$13MM from Fidelity to IA account	451143. AML to Close - No Material Change
64642 00000452327	Aquiline Financial Services Fund II, L.P.	PRINCIPALS OF AQUILINE RELATIONSHIP	Fund's investment focus is financial service companies. Compliance Comment: 3/15/12 ACU is now auto exempt. N/A	AML to Close - No material change
64425 00000473862	Kingsley, Todd R.	KINGSLEY RELATIONSHIP	No changes.	New Booking
Center - Client is opening a mortgage.				AML to Close - No Material Change
ng center requires a KYC update				Not closed/New booking



