

RUN DATE : 02/03/2015 - 00.06.52
REPORT ID: MBS050CA-02
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4D-004237	1	5,821,185.08	EUR		IBD			[REDACTED]	14.13.21	14.13.21	CWGOX000007B
USDE : \$6,568,043.12											
TRADE DATE: 02/02/2015											
VALUE DATE: 02/03/2015											
FEE DESCRIPTION											
AMOUNT CHARGE TO											
WAIVE FEE REASON											

WIRE FEE											
\$30.00 CUSTOMER											
N/A											

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL											

BANK BARCGB22 BARCLAYS BANK PLC LONDON UNITED KINGDO											
SECOND											
FFC											
ULT BENE [REDACTED] NATIONAL COMMERCIAL BANK JAMAICA LTD											
ADDITIONAL INSTRUCTIONS :											
RELEASE DATE : 2015-02-02											
RELEASE COMMENTS :											

RULE NUMBER MESSAGE											

03301 -ALL CURRENCY WIRES TO APPROVAL.											
03419 -AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE											
03600 -LOA REQUIRED. PLEASE FAX TO PERSHING											
09924 -AML/EXCEEDS TURNOVER RATIO: MIN/FOR ACCT-561% OVER STANDARD TIMEFRAME											
09938 -ACCOUNT ON WATCH LIST - HIGH RISK ACCUNT PER PWM US KYC POLICY											
09982 -AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR MIN INVESTME											
REASON : PER LOA											
STANDING INSTRUCTION : N											
CURRENCY WIRES REF NUMBER :											
Reg E Eligible : No											

USER ID DATE TIME STATUS COMMENTS											

[REDACTED] 02/02/15 14.13.21 SUBM											
=====											

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4D-008378 1		20,000.00	CHF		IBD			[REDACTED]	10.26.39	11.38.14	CWGOX000003Y
USDE : \$21,748.58											
TRADE DATE: 02/02/2015											
VALUE DATE: 02/03/2015											
FEE DESCRIPTION											

AMOUNT	CHARGE TO	WAIVE FEE REASON
\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	BAERCHZZ		BANK JULIUS BAER AND CO.LTD.,	ZURICH	SWITZERLAND	
SECOND						
FFC	[REDACTED]		MERRILL LYNCH		UNITED STATES	
ULT BENE	[REDACTED]		VASILEIOS PAPADOPOULOS ARGYRO	PAPADOPOULOS ELENI PAPADOPOULOS		

ADDITIONAL INSTRUCTIONS :
 RELEASE DATE : 2015-02-02
 RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
09938	-ACCOUNT ON WATCH LIST - HIGH RISK ACCUNT PER PWM US KYC POLICY
09951	-AML-VELOCITY JOURNAL TRANSACTION THRESHOLD EXCEEDED FOR AN ESTABLISHE

REASON : AS PER LOA
 STANDING INSTRUCTION : N
 CURRENCY WIRES REF NUMBER : IMD1CWGOX000003Y
 Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	11.38.14	PFR	
[REDACTED]	02/02/15	11.38.10	ULK	
[REDACTED]	02/02/15	11.38.10	APP	FDS AVA VD 2-3/W9/LOA/RECD/CORP/RES/DBAB
[REDACTED]	02/02/15	11.36.48	LCK	
[REDACTED]	02/02/15	11.19.01	ULK	
[REDACTED]	02/02/15	11.19.01	APP	
[REDACTED]	02/02/15	11.18.04	LCK	

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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
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USER ID DATE TIME STATUS COMMENTS

02/02/15 10.26.39 SUBM

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4D-013469 1		9,862.77	EUR		IBD				09.44.57	03.30.57	CWG0U0000030

USDE : \$11,181.42
TRADE DATE: 01/30/2015
VALUE DATE: 02/02/2015

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	EFGBGRAA		EUROBANK ERGASIAS S.A.	ATHENS	GREECE	

SECOND

FFC

ULT BENE [REDACTED] ODYSSEFS DIMITRIOS ILIOU

ADDITIONAL INSTRUCTIONS :
RELEASE DATE : 2015-01-30
RELEASE COMMENTS :

RULE NUMBER MESSAGE

03100 -REG E ELIGIBLE WIRE
03301 -ALL CURRENCY WIRES TO APPROVAL.

REASON : AS PER LOA
STANDING INSTRUCTION : Y
CURRENCY WIRES REF NUMBER : IMD1CWG0U0000030
Reg E Eligible : Yes
Was a foreign exchange transaction completed in connection with this wire request : No

USER ID DATE TIME STATUS COMMENTS

02/02/15 03.30.57 SNT The Currency wire got settled.
01/30/15 11.29.07 PPR
01/30/15 11.29.06 ULK

SDNY_GM_00065744

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

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USER ID DATE TIME STATUS COMMENTS

01/30/15 11.29.06 APP
01/30/15 11.28.19 LCK
01/30/15 10.14.58 PAPP
01/30/15 09.44.57 AWMH Awaiting Mandatory Hold Period
01/30/15 09.44.57 SUBM Disclosure provided at initiation

ACCOUNT TYPE AMOUNT CCY BANK INIT DEPT DEPT INITIATED INITIATED UPDATED REQUEST
BY AT AT ID

N4D-078041 1 9,440.00 EUR IBD 11.45.52 14.27.17 CWG0X0000050

USDE : \$10,651.15

TRADE DATE: 01/30/2015

VALUE DATE: 02/03/2015

FEE DESCRIPTION AMOUNT CHARGE TO WAIVE FEE REASON

WIRE FEE \$30.00 CUSTOMER N/A

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL

BANK CMCIFRPP CM - CIC BANQUES PARIS FRANCE

SECOND

FFC

ULT BENE SNOW CONNECTION

ADDITIONAL INSTRUCTIONS :
RELEASE DATE : 2015-02-02
RELEASE COMMENTS :

RULE NUMBER MESSAGE

03300 -THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301 -ALL CURRENCY WIRES TO APPROVAL.
09921 -AML/EXCEEDS TURNOVER RATIO: REG/FOR ACCT-111% OVER STANDARD TIMEFRAME

REASON : PLEASE PROCESS, CURRENCY AVAILABLE, LOA ON FILE FROM 01/30/2015
STANDING INSTRUCTION : N
CURRENCY WIRES REF NUMBER : IMD1CWG0X0000050
Reg E Eligible : No

SDNY_GM_00065745

CONFIDENTIAL

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028570
EFTA_00176245

EFTA01299671

USER ID DATE TIME STATUS COMMENTS

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[REDACTED] 02/02/15 14.27.17 PPR
[REDACTED] 02/02/15 14.27.17 ULK
[REDACTED] 02/02/15 14.27.17 APP      LOA RECD-CORP ON FILE-SUFF EUR AV
[REDACTED] 02/02/15 14.26.28 LCK
[REDACTED] 02/02/15 11.46.59 APP
[REDACTED] 02/02/15 11.46.59 ULK
[REDACTED] 02/02/15 11.46.59 APP      FUNDS NOW AVAILABLE
[REDACTED] 02/02/15 11.46.20 LCK
[REDACTED] 02/02/15 11.45.52 SUBM
  
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ACCOUNT  TYPE                AMOUNT  CCY  BANK  INIT  DEPT  DEPT  INITIATED  INITIATED  UPDATED  REQUEST
      BY      AT      AT      ID
-----
N4D-078041 1                9,440.00  EUR   IBD           [REDACTED] 15.30.06 11.42.36 CWG0U000007J
  
```

USDE : \$10,702.12
 TRADE DATE: 01/30/2015
 VALUE DATE: 02/02/2015

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FEE DESCRIPTION                AMOUNT  CHARGE TO  WAIVE FEE REASON
-----
WIRE FEE                        $30.00  CUSTOMER    N/A
  
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BANK-INFO SWIFT ID  LOCAL BRANCH CODE/ACCT NO/IBAN  NAME  CITY  COUNTRY  INVL
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BANK  CMCIFRPP                CM - CIC BANQUES  PARIS  FRANCE
  
```

SECOND

FFC

ULT BENE [REDACTED] SNOW CONNECTION

ADDITIONAL INSTRUCTIONS :
 RELEASE DATE : 2015-01-30
 RELEASE COMMENTS :

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RULE NUMBER  MESSAGE
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03300  -THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301  -ALL CURRENCY WIRES TO APPROVAL.
03504  -MULTIPLE REQUEST
09921  -AML/EXCEEDS TURNOVER RATIO: REG/FOR ACCT-108% OVER STANDARD TIMEFRAME
09999  -AML/AGGREGATION ALERT- 6 RULES TRIGGERED IN 6 REQUESTS
  
```

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REASON : FX EXECUTED. LOA ON FILE.
 STANDING INSTRUCTION : N
 CURRENCY WIRES REF NUMBER :
 Reg E Eligible : No

USER ID DATE TIME STATUS COMMENTS

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[REDACTED] 02/02/15 11.42.36 CANC TO ENTER NEW REQUEST
[REDACTED] 02/02/15 09.51.13 ULK
[REDACTED] 02/02/15 09.50.58 LCK
[REDACTED] 02/02/15 08.48.47 ULK
[REDACTED] 02/02/15 08.44.37 LCK
[REDACTED] 01/30/15 17.58.46 ULK
[REDACTED] 01/30/15 17.58.46 HLD PENDING ADDITIONAL ACTIVITY. INSUFF EUR
[REDACTED] 01/30/15 17.57.05 LCK
[REDACTED] 01/30/15 16.08.54 ULK
[REDACTED] 01/30/15 16.08.54 APP
[REDACTED] 01/30/15 16.07.45 LCK
[REDACTED] 01/30/15 15.43.56 ULK
[REDACTED] 01/30/15 15.37.06 LCK
[REDACTED] 01/30/15 15.30.06 SUBM
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ACCOUNT TYPE AMOUNT CCY BANK INIT DEPT DEPT INITIATED BY INITIATED AT UPDATED AT REQUEST ID

N4D-081862 1 3,055.00 GBP IBD [REDACTED] 14.09.29 08.55.59 CWG0U000006V

USDE : \$4,605.10
 TRADE DATE: 01/30/2015
 VALUE DATE: 02/02/2015
 FEE DESCRIPTION

AMOUNT CHARGE TO WAIVE FEE REASON

WIRE FEE \$30.00 CUSTOMER N/A

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL

BANK COUTGB22 COUTTS AND CO. LONDON UNITED KINGDO

SECOND

FFC

ULT BENE [REDACTED] BRATHEW LTD

ADDITIONAL INSTRUCTIONS : 79A PORTOBELLO NARDULLI
 RELEASE DATE : 2015-01-30

SDNY_GM_00065747

CONFIDENTIAL

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028572
 EFTA_00176247

EFTA01299673

REPORT ID: MBS050CA-02

ACTIVITY REPORT FOR THE DATE : 02/02/2015

IBD NO : 6XE

RELEASE COMMENTS :

RULE NUMBER	MESSAGE
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.
03100	-REG E ELIGIBLE WIRE
03151	-DELIVERING ACCOUNT HAS AN ACCOUNT HOLD INDICATOR.-COMBINED MARGIN ACCT
03301	-ALL CURRENCY WIRES TO APPROVAL.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE

REASON : AMOUNT IS AVAILABLE, FX TRADE DONE YESTERDAY, 01.29.2015. STANDING INSTRUCTIONS
 STANDING INSTRUCTION : Y
 CURRENCY WIRES REF NUMBER : IMD1CWGOU000006V
 Reg E Eligible : Yes
 Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	08.55.59	SNT	
[REDACTED]	02/02/15	08.55.58	ULK	
[REDACTED]	02/02/15	08.55.58	APP	SI COMBINED MARGIN EXCESS
[REDACTED]	02/02/15	08.55.22	LCK	
[REDACTED]	02/02/15	08.27.19	ULK	
[REDACTED]	02/02/15	08.27.19	APP	SUFF GBP IN COMBINED, STI
[REDACTED]	02/02/15	08.21.18	LCK	
[REDACTED]	01/30/15	18.09.44	ULK	
[REDACTED]	01/30/15	18.09.44	HLD	PENDING ADDITIONAL ACTIVITY. USD DEBIT NEED TO BE COVERED
[REDACTED]	01/30/15	18.07.29	LCK	
[REDACTED]	01/30/15	15.22.37	ULK	
[REDACTED]	01/30/15	15.22.37	APP	
[REDACTED]	01/30/15	15.21.06	LCK	
[REDACTED]	01/30/15	14.39.30	PAPP	
[REDACTED]	01/30/15	14.09.29	AWMH	Awaiting Mandatory Hold Period
[REDACTED]	01/30/15	14.09.29	SUBM	Disclosure provided at initiation

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4D-082274	1	200,000.00	EUR		IBD			[REDACTED]	14.17.47	14.17.47	CWGOX000007E
USDE : \$225,660.00											
TRADE DATE: 02/02/2015											
VALUE DATE: 02/03/2015											
FEE DESCRIPTION								AMOUNT	CHARGE TO	WAIVE	FEE REASON
WIRE FEE								\$30.00	CUSTOMER		N/A

SDNY_GM_00065748

CONFIDENTIAL

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
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BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	SCBLDEFXXXX	50011103	STANDARD CHARTERED BANK GERMAN	FRANKFURT AM MAIN	GERMANY	

SECOND

FFC

ULT BENE [REDACTED] EUROBANCO BANK LIMITED

ADDITIONAL INSTRUCTIONS : CAVES PROFESSIONAL CENTRE STE 12 WEST BAY ST BLAKE ROAD NASSAU BAHAMAS
RELEASE DATE : 2015-02-02
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03301	-ALL CURRENCY WIRES TO APPROVAL.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE
03600	-LOA REQUIRED. PLEASE FAX TO PERSHING
09938	-ACCOUNT ON WATCH LIST - PIC ACCOUNT
09952	-AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR AN ESTABLISH

REASON : OK
STANDING INSTRUCTION : N
CURRENCY WIRES REF NUMBER :
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	14.17.47	SUBM	

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4G-024950	1	885.09	GBP		IBD			[REDACTED]	14.30.55	08.40.01	CWGOU000006Z

USDE : \$1,334.18
TRADE DATE: 01/30/2015
VALUE DATE: 02/02/2015

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$7.50	OFFICE	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	BARCGB22		BARCLAYS BANK PLC	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE [REDACTED] THE OXFORD GROUP

ADDITIONAL INSTRUCTIONS : 150 BOOKS THE SEARCH FOR PEACE IN THE ARAB ISRAELI CONFLICT BY ROB LARSEN SHIPPING COST
RELEASE DATE : 2015-01-30
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.

REASON : 2124540039
STANDING INSTRUCTION : N
CURRENCY WIRES REF NUMBER : IMD1CWGOU000006Z
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	08.40.01	SNT	
[REDACTED]	02/02/15	08.40.01	ULK	
[REDACTED]	02/02/15	08.40.01	APP	LOA RECD, W9.
[REDACTED]	02/02/15	08.37.42	LCK	
[REDACTED]	01/30/15	17.56.59	ULK	
[REDACTED]	01/30/15	17.56.59	HLD	PENDING ADDITIONAL ACTIVITY. SUFF GBP V/D 2/2/LOA RECD/CORP RES IMAGED/DBAB
[REDACTED]	01/30/15	17.55.06	LCK	
[REDACTED]	01/30/15	15.52.24	APP	
[REDACTED]	01/30/15	15.52.23	ULK	

SDNY_GM_00065750

USER ID DATE TIME STATUS COMMENTS

[REDACTED] 01/30/15 15.52.23 APP
[REDACTED] 01/30/15 15.49.17 LCK
[REDACTED] 01/30/15 14.30.55 SUBM
=====

CONFIDENTIAL

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
N4H-031244	1	2,374,813.22	AUD		IBD			[REDACTED]	08.29.30	10.02.26	CWG0U000002C
USDE		: \$1,849,029.57									
TRADE DATE:		01/29/2015									
VALUE DATE:		02/02/2015									
FEE DESCRIPTION				AMOUNT CHARGE TO		WAIVE FEE REASON					

WIRE FEE \$30.00 IP N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	NATAAU3303M		NATIONAL AUSTRALIA BANK LIMITE	MELBOURNE	AUSTRALIA	

SECOND

FFC

ULT BENE [REDACTED] PETER THOMAS MAGEE

ADDITIONAL INSTRUCTIONS : BSB NUMBER 083 028
 RELEASE DATE : 2015-01-30
 RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03301	-ALL CURRENCY WIRES TO APPROVAL.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE
03600	-LOA REQUIRED. PLEASE FAX TO PERSHING

REASON : PLEASE APPROVE THANK YOU]
 STANDING INSTRUCTION : N
 CURRENCY WIRES REF NUMBER :
 Reg E Eligible : Yes
 Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	10.02.26	PAPP	
[REDACTED]	02/02/15	09.32.25	AWMH	Awaiting Mandatory Hold Period
[REDACTED]	02/02/15	09.32.25	MDAT	Disclosure provided
[REDACTED]	01/30/15	08.29.31	AWCF	Awaiting Client disclosure
[REDACTED]	01/30/15	08.29.31	SUBM	

SDNY_GM_00065752

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DB-SDNY-0028577
 EFTA_00176252

EFTA01299678

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
5XG-005567	1	500.00	GBP	IBD					10.20.27	08.37.27	CWGOU000003J

USDE : \$753.70
TRADE DATE: 01/30/2015
VALUE DATE: 02/02/2015

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	DEUTGB2L		DEUTSCHE BANK AG	LONDON	UNITED KINGDO	
SECOND	MGCOJESH		DEUTSCHE BANK INTERNATIONAL LI	ST. HELIER	JERSEY	
FFC						
ULT BENE			DEUTSCHE BANK INTERNATIONAL LTD	GUERNSEY		

ADDITIONAL INSTRUCTIONS : 01GED 985051 FC FSD ANNUAL RETURNSREFERENCE SAHY LIMITED 710224
RELEASE DATE : 2015-01-30
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.

REASON : LOA
STANDING INSTRUCTION : N
CURRENCY WIRES REF NUMBER : IMD1CWGOU000003J
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
	02/02/15	08.37.27	SNT	
	02/02/15	08.37.26	ULK	
	02/02/15	08.37.26	APP	LOA RECD, W8-12
	02/02/15	08.31.59	LCK	
	01/30/15	17.53.02	ULK	
	01/30/15	17.53.02	HLD	PENDING ADDITIONAL ACTIVITY. SUFF GBP V/D 2/2/LOA RECD/CORP RES IMAGED./DBAB
	01/30/15	17.50.41	LCK	
	01/30/15	17.02.41	APP	
	01/30/15	17.02.40	ULK	

SDNY_GM_00065753

CONFIDENTIAL

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028578
EFTA_00176253

EFTA01299679

RUN DATE : 02/03/2015 - 00.06.52

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES

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ACTIVITY REPORT FOR THE DATE : 02/02/2015

IBD NO : 6XE

USER ID DATE TIME STATUS COMMENTS

[REDACTED] 01/30/15 17.02.40 APP
[REDACTED] 01/30/15 17.02.36 LCK
[REDACTED] 01/30/15 10.20.27 SUBM

RUN DATE : 02/03/2015 - 00.06.52
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ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
5XH-024013	1	5,000.00	GBP	IBD					14.32.08	08.18.30	CWGOU0000071

USDE : \$7,537.00
TRADE DATE: 01/30/2015
VALUE DATE: 02/02/2015

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	OFFICE	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	MIDLGB22		HSBC BANK PLC	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE [REDACTED] CHARLOTTE E BOCLY

ADDITIONAL INSTRUCTIONS : ACCOUNT NUMBER [REDACTED] SORT CODE 400619
RELEASE DATE : 2015-01-30
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03301	-ALL CURRENCY WIRES TO APPROVAL.
03501	-MULTIPLE MARGIN REQUEST REQUIRES REVIEW AND APPROVAL.
03504	-MULTIPLE REQUEST

REASON : SLOA ON FILE
STANDING INSTRUCTION : Y
CURRENCY WIRES REF NUMBER : IMD1CWGOU0000071
Reg E Eligible : Yes
Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	08.18.31	SNT	
[REDACTED]	02/02/15	08.18.30	ULK	
[REDACTED]	02/02/15	08.18.30	APP	W9, SUFF GBP, STI
[REDACTED]	02/02/15	08.16.45	LCK	
[REDACTED]	01/30/15	18.12.40	ULK	
[REDACTED]	01/30/15	18.12.40	HLD	PENDING ADDITIONAL ACTIVITY. SUFF GB A V/D 2/2/STI
[REDACTED]	01/30/15	18.11.22	LCK	

SDNY_GM_00065755

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DB-SDNY-0028580
EFTA_00176255

EFTA01299681

RUN DATE : 02/03/2015 - 00.06.52
REPORT ID: MBS050CA-02
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

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USER ID DATE TIME STATUS COMMENTS

[REDACTED]	01/30/15	16.16.45	ULK	
[REDACTED]	01/30/15	16.16.45	APP	
[REDACTED]	01/30/15	16.15.24	LCK	
[REDACTED]	01/30/15	15.02.09	PAPP	
[REDACTED]	01/30/15	14.32.08	AWMH	Awaiting Mandatory Hold Period
[REDACTED]	01/30/15	14.32.08	SUBM	Disclosure provided at initiation

RUN DATE : 02/03/2015 - 00.06.52
REPORT ID: MBS050CA-02
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

REPORT PAGE: 1

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
5XN-182251	1	19,271.81	EUR		IBD			[REDACTED]	13.18.51	14.36.57	CWGOX000006I
USDE : \$21,744.38											
TRADE DATE: 02/02/2015											
VALUE DATE: 02/03/2015											
FEE DESCRIPTION											
AMOUNT CHARGE TO											
WAIVE FEE REASON											

WIRE FEE											
\$30.00 CUSTOMER											
N/A											

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL					

BANK	RBOSIMDX		ROYAL BANK OF SCOTLAND INTERNA	DOUGLAS	ISLE OF MAN						
SECOND											
FFC											
ULT BENE											
[REDACTED] KREOS CAPITAL III LIMITED											
ADDITIONAL INSTRUCTIONS :											
RELEASE DATE : 2015-02-02											
RELEASE COMMENTS :											

RULE NUMBER											
MESSAGE											

03301	-ALL CURRENCY WIRES TO APPROVAL.										
03504	-MULTIPLE REQUEST										
REASON : DOCS TO BE UPLOADED											
STANDING INSTRUCTION : N											
CURRENCY WIRES REF NUMBER : IMD1CWGOX000006I											
Reg E Eligible : No											
USER ID	DATE	TIME	STATUS	COMMENTS							

[REDACTED]	02/02/15	14.36.57	PPR								
[REDACTED]	02/02/15	14.36.56	ULK								
[REDACTED]	02/02/15	14.36.56	APP								
[REDACTED]	02/02/15	14.36.51	LCK								
[REDACTED]	02/02/15	13.18.51	SUBM								
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SDNY_GM_00065757

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CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028582
EFTA_00176257

EFTA01299683

RUN DATE : 02/03/2015 - 00.06.52
REPORT ID: MBS050CA-02
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

REPORT PAGE: 1

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
6UF-010035	1	335,408.36	HKD		IBD			[REDACTED]	09.03.30	10.10.47	CWGOX0000033
USDE : \$43,260.97											
TRADE DATE: 02/02/2015											
VALUE DATE: 02/03/2015											
FEE DESCRIPTION											
WIRE FEE											
								\$30.00	CUSTOMER	N/A	

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	HASEHKHH		HANG SENG BANK LIMITED	HONG KONG	HONG KONG	

SECOND

FFC

ULT BENE [REDACTED] TSE SHUK YEE CONNIE

ADDITIONAL INSTRUCTIONS : ACCT NUMBER [REDACTED] HKD
RELEASE DATE : 2015-02-02
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.
03100	-REG E ELIGIBLE WIRE
03301	-ALL CURRENCY WIRES TO APPROVAL.

REASON : STANDING LOA ON FILE
STANDING INSTRUCTION : Y
CURRENCY WIRES REF NUMBER : IMD1CWGOX0000033
Reg E Eligible : Yes
Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	10.10.47	PFR	
[REDACTED]	02/02/15	10.10.47	ULK	
[REDACTED]	02/02/15	10.10.47	APP	
[REDACTED]	02/02/15	10.05.50	LCK	
[REDACTED]	02/02/15	09.33.32	PAPP	
[REDACTED]	02/02/15	09.03.30	AWMH	Awaiting Mandatory Hold Period
[REDACTED]	02/02/15	09.03.30	SUBM	Disclosure provided at initiation

SDNY_GM_00065758

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
6UF-012387	1	150,000.00	GBP	IBD					11.41.15	15.09.59	CWGOX000004W

USDE : \$225,255.00
TRADE DATE: 02/02/2015
VALUE DATE: 02/03/2015

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	BARCGB22		BARCLAYS BANK PLC	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE [REDACTED] THE WOOLWICH

ADDITIONAL INSTRUCTIONS : MORTGAGE ACCOUNT [REDACTED] SHERMAN
RELEASE DATE : 2015-02-02
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
03600	-LOA REQUIRED. PLEASE FAX TO PERSHING
09952	-AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR AN ESTABLISH
09999	-AML/AGGREGATION ALERT- 2 RULES TRIGGERED IN 1 REQUESTS

REASON : LOA ON FILE
STANDING INSTRUCTION : N
CURRENCY WIRES REF NUMBER : IMD1CWGOX000004W
Reg E Eligible : Yes
Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
[REDACTED]	02/02/15	15.09.59	PFR	
[REDACTED]	02/02/15	15.09.59	ULK	
[REDACTED]	02/02/15	15.09.59	APP	APPVD PER L2 APPVR COMMENTS/SUFF GBP IS AVAILABLE
[REDACTED]	02/02/15	15.09.10	LCK	
[REDACTED]	02/02/15	14.55.01	ULK	

RUN DATE : 02/03/2015 - 00.06.52
REPORT ID: MBS050CA-02
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES
ACTIVITY REPORT FOR THE DATE : 02/02/2015

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USER ID DATE TIME STATUS COMMENTS

[REDACTED]	02/02/15	14.55.01	APP	LOA / SUFF GBP / V/D 2-3
[REDACTED]	02/02/15	14.53.36	LCK	
[REDACTED]	02/02/15	14.19.42	APP	
[REDACTED]	02/02/15	14.19.42	ULK	
[REDACTED]	02/02/15	14.19.42	APP	
[REDACTED]	02/02/15	14.19.33	LCK	
[REDACTED]	02/02/15	12.11.16	PAPP	
[REDACTED]	02/02/15	11.41.16	AWMH	Awaiting Mandatory Hold Period
[REDACTED]	02/02/15	11.41.15	SUBM	Disclosure provided at initiation

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