

## #PositiveImpact

**From:** Nina Tona  
**Sent:** Thursday, June 20, 2019 11:29 AM  
**To:** Jamaal Bushara <[REDACTED]>; Joseph Harleston <[REDACTED]>  
**Cc:** Padam Chainani <[REDACTED]>; Ellenoi Jarvi <[REDACTED]>; Ana Hunter <[REDACTED]>; Ian Salters <[REDACTED]>; Oliver Esslinger <[REDACTED]>  
**Subject:** RE: Cases for this Week - 6/21 [I]

Classification: **For internal use only**

Hi Team,

Please see the updated list. Ellenoi added the 4 clients. Kindly review and advise what is required to remediate, please ensure Red Okas is worked on first.

### Pending with COB

Client Name	KYC Type	Status	Action	COB Responsible	Due Date
134 West 58th Realty LLC	Remediation	COB	IT issue	Jamaal	06/19/2019
125 Washington	Remediation	COB	IT issue	Joe	6/14/2019
Dobson CC Limited Partnership	Remediation	COB	With G KYC Checker	Jamaal	6/21/2019
Red Oak Investment Fund	Remediation (High Priority)	COB	Provide remediation list	Jamaal	6/28/2019
Howard Lepow	Remediation	COB	Provide remediation list	Joe	6/28/2019
1149 Gower Street Hollywood LLC	Remediation	COB	Provide remediation list	Jamaal	6/28/2019
Fifth Avenue South	Remediation	COB	Provide remediation list	Joe	6/28/2019

### Pending with Business

Client Name	KYC Type	Status
Dakota Pacific Global Macro Fund LLC	Extension	Client to provide clarification to AFC question
Staple Street Global	Extension	With business to obtain from client
Daniel and Suzzan Cohen	Remediation	Tax issue, MIFID opt-out
DA Brazil	NCA	With business to obtain from client
DA Venezuela	NCA	With business to obtain from client
Ultralat Capital Markets	Refresh	With business to obtain from client
Anschutz Investment Company	Extension	With business to provide required info