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Securities offered through Deutsche Bank Securities Inc.

From: Oliver Esslinger

Sent: Friday, November 30, 2018 10:13 AM

To: Jonathan Groom [REDACTED]

Cc: zia Memon <[REDACTED]>; Jo-Anne Santos <[REDACTED]>; Brian H Heidelberg <[REDACTED]>; Emily Craig <[REDACTED]>

Subject: RE: FIM Relationships and FIMs - KYC Tracker [1]

Classification: For internal use only

Hi Jonathan/Jo-Anne/Brian:

Upon return from Jonathan next week can you please provide me with an updated BDC/FIM KYC tracker – see screen shot - which I view to also be embedded in attached KYC scorecard?

PS: I recently also signed exit letter for BP Finance hence view this to be completed for good by now.

Thank you

Oliver

FIM Name	GCIS Number	Risk	Last Approved KYC	Status	Due Date in Tracker	Customer Owner	
Hirtle Callaghan & Co	[REDACTED]	Moderate	7/17/2017	Fully Approved	1/31/2018	Terrence Targney	
Hamlin Capital Management, LLC	[REDACTED]	Moderate	7/12/2017	Client not started	4/30/2018	Salvatore E. Moore	
BP Finance	[REDACTED]	High	7/17/2015	Client not started	12/31/2018	Gabriel Micheletti	
Matter Family Office (Deutsche Bank Cayman Ltd)	[REDACTED]	Low	None	Client not started	1/1/2019	Mark Gonzalez	
WE Family Offices	[REDACTED]	Low	None	Client not started	2/7/2019	Mark Gonzalez	
AON Insurance Managers (Cayman) Ltd	[REDACTED]	Low	None	Client not started	3/24/2019	Mark Gonzalez	
Global Captive Management	[REDACTED]	Low	None	Client not started	4/14/2019	Mark Gonzalez	
Legg Mason (1919 Investment Council LLC)	[REDACTED]	Low	KYC in progress (#01916145)	Quality Rejection	5/2/2019	Salvatore E. Moore	
Windsor Advisory Group LLC	[REDACTED]	Low	11/7/2013	Client not started	5/2/2019	Mark Westhoff	
Kerr Financial Group	[REDACTED]	Low	None	Client not started	5/2/2019	Sean Jules	
Partners Capital S.A. (formerly Drizay Corporation S.A.)	[REDACTED]	Moderate	5/10/2016	Client not started	6/19/2019	Mauricio Pretelt	
Noyes LLC	[REDACTED]	Moderate	9/16/2015	Client not started	7/12/2019	Brian Convey	
True Capital Management	[REDACTED]	Low	5/14/2013	Client not started	7/12/2019	Dan Gray	
Seamans, Richard F.	[REDACTED]	Low	7/28/2009	Client not started	7/28/2019	Douglas Robertson	
Chilton Trust Company	[REDACTED]	Low	None	Client not started	8/2/2019	Terrence Targney	
Algonquin Advisors LLC	[REDACTED]	Low	None	Client not started	8/2/2019	Michael Lantz	Leg
Wright Investors Service	[REDACTED]	Low	12/22/2012	Client not started	12/22/2019	Michael Lantz	Leg
South Street Advisors LLC	[REDACTED]	Low	7/21/2017	Client not started	7/21/2022	Terrence Targney	

