

Good morning Jonathan,

I wanted to confirm that the FIM you sent earlier are now on the tracker for remediation. There are several (in red below) that do not have a KYC in file, can you please confirm who will work on this initial KYC?

FIM Name	GCIS Number	Risk	Last Approved KYC
Noyes LLC		Moderate	9/16/2015
True Capital Management		Low	5/14/2013
BP Finance		High	7/17/2015
Matter Family Office (Deutsche Bank Cayman Ltd)		Low	None
WE Family Offices		Low	None
ACN Insurance Managers (Cayman) Ltd		Low	None
Global Captive Management		Low	None
Partners Capital S.A. (formerly Drizay Corporation S.A.)		Moderate	5/10/2016
Legg Mason (1919 Investment Council LLC)		Low	KYC in progress (#01916145)
Hamlin Capital Management, LLC		Moderate	7/12/2017
Hirtle Callaghan & Co		Moderate	7/17/2017
South Street Advisors LLC		Low	7/21/2017
Windor Advisory Group LLC		Low	11/7/2013
Keer Financial Group		Low	None
Seamans, Richard F.		Low	7/28/2009
Wright Investors Service		Low	12/22/2012
Chilton Trust Company		Low	None
Algonquin Advisors LLC		Low	None

Thank you

<image002.jpg>

Melisa Venegas

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**From:** Jonathan Groom

**Sent:** Thursday, October 04, 2018 4:02 PM

**To:** Melisa Venegas <>

**Cc:** zia Memor <> Derek St-Hilaire <>

**Subject:** FIM Relationships and FIMs - KYC Tracker [I]

Classification: For internal use only

Hi Melisa,

Will you please review the revised FIM Register and verify that these names are listed on the KYC tracker? I carried over the info from your previous check, but we've added several new FIMs to the register. They are also prospects in dbForce, so it's doubtful they are on the tracker. If they are not listed, will you please add them?

Please let me know if you have any questions.

Thanks,

Kind regards,  
Jonathan Groom

<image003.gif>

Jonathan Groom