

M. Case Comments		
Created By	Date	Comments
Cynthia Rodriguez	5/25/117 0:28 AM	Also attached is Tananbaum
Margarita Perez	5/31/117 8:39 PM	See ID for Neil Scanlon in the repository under Golden Tree Management LP. See ID for Thomas Gengler on KYC 200436.
Cynthia Rodriguez	5/31/117 3:48 AM	Initial funding into this new account holder will derive from DB account [REDACTED]. This account has already been funded by the contributors. Attached is a DB transaction report that shows where funds came from originally and how much will of the funds in account [REDACTED] will be funding this new account holder.
Yoonsun Chung	1/12/118 0:47 AM	This KYC serves as the regular review of a high risk client. Below are the reasons why we are comfortable approving this KYC: <ul style="list-style-type: none"> <li>Information and supporting documents required by our AML Policy were provided and reviewed; and as a result, we have a reasonable understanding of the structure of the accountholder, its purpose, the purpose of the account and expected transaction activity.</li> <li>The Client is high risk due to negative media and source of wealth industry which is real estate.</li> <li>Source of wealth is private equity and it is considered a high risk industry.</li> <li>The source of wealth was sufficiently detailed and appears plausible.</li> <li>Our review did not identify any red flags to escalate the case further.</li> <li>We performed due diligence searches on all key parties including the client, the investors and authorized signatories and did not find the names searched to be on any sanctions lists.</li> </ul>
Cynthia Rodriguez	5/25/117 0:28 AM	Photo IDs for Feiler and Scanlon can be found in case 01540968. Attached are Gengler, Ritholz, and Christian.
Cynthia Rodriguez	5/25/117 0:32 AM	Barry Ritholz is not a PEP.
Cynthia Rodriguez	5/31/117 4:03 AM	Please note: Leon Wagner is no longer an LP for this entity. Attached is form ADV to support this change. Steven Tananbaum is the majority owner per attached ADV (page 217).
Cynthia Rodriguez	5/31/117 4:05 AM	Scanlon and Gengler have been previous kyc approved and IDs can be found in kyc case 01518637.

ONSHORE APPROVALS			
Client Facing Professional (CFP):	terri sohrab	(Signature) terri sohrab	5/19/2017
Office Director/Business Head:	Andrew F Gallivan	(Signature) Andrew F Gallivan	
Regional Office Director:		(Signature)	
AML Business Risk:	Margarita Perez	(Signature) Margarita Perez	5/30/2017
AML Compliance:	Yoonsun Chung	(Signature) Yoonsun Chung	5/31/2017

LATAM/INTERNATIONAL APPROVALS			
Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	