

From: Vijay-A Sawant [REDACTED]
Sent: 8/23/2018 11:51:38 AM
To: Bradley Gillin [REDACTED]
CC: Richard Iarossi [REDACTED]; Alka Babu [REDACTED]; Mayur Rathod [REDACTED]
Subject: RE: KYC Remediation update [I]
Attachments: RE_ Requested information for Marsa, Amaan and Hattan Holdings LLC [C] [I] (18.3 KB).msg; 2018 Periodic Review of High Risked Accounts [REDACTED] (GCIS#4... (1.75 MB).msg; RE_ 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#54754... (73.7 KB).msg; 2018 Periodic Review of accts Aircraft Acquisition Corporation (GCIS#4942... (133 KB).msg; RE_ 2018 Periodic Review of accts Tomorrow Foundation (GCIS#437576) and ... (17.4 KB).msg; RE_ 2018 Periodic Review of High Risked Accounts Southern Trust Company,... (5.27 MB).msg; RE_ Gratitude America, Ltd & Mort Inc (2.19 MB).msg; FW_ 2018 Periodic Review of accts JEJE Inc (GCIS#487244), JEJE LLC (GCIS#... (716 KB).msg; 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882) & LSJ... (94.4 KB).msg; 2018 Periodic Review of Accts NES, LLC (GCIS#487265), Plan D, LLC (GCIS#... (1.43 MB).msg; RE_ 2018 Periodic Review of High Risked Accounts J. Epstein Virgin Islan... (35.3 KB).msg; RE_ 2018 Periodic Review of GoldenTree Asset Management UK LLP (GCIS # 4... (19.2 KB).msg

Importance: High

Hi Brad,

Following are the ongoing **high risked** accounts which are overdue for remediation in ascending order, their statuses below –

- AMAAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- HATTAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- MARSА HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- JCP IV QP, LLC – DueDate 06/30/2018 – Docs received yesterday, pending review. Will advise as soon as that is done.
- [REDACTED] – DueDate 07/27/2018 – Docs required as per attached 2nd email
- Cerberus Executive, LLC – DueDate 07/31/2018 – Awaiting docs as per attached 3rd email. I am aware that you have followed up with client on this, so thanks for that.
- Aircraft Acquisition Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Sillerman Investment Company III, LLC – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Tomorrow Foundation – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Elderberry X, LLC – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Sillerman Investment Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Epstein, Jeffrey E. – DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- Southern Financial LLC - DueDate 08/08/2018 – Awaiting docs as per attached 8th email attached.
- Southern Trust Company, Inc. - DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- J. Epstein Virgin Islands Foundation, Inc - DueDate 08/08/2018 – Docs & confirmation required as per attached 10th email
- GoldenTree Asset Management UK LLP- DueDate 08/09/2018 – Docs & confirmation required as per attached 11th email
- Gratitude America Ltd – DueDate 08/16/2018– Awaiting docs as per attached 6th email attached.
- Neptune, LLC – DueDate 08/16/2018 – Docs required as per attached 2nd email
- NES, LLC – DueDate 08/16/2018 – Docs & confirmation required as per attached 9th email.
- LSJE, LLC – DueDate 08/18/2018 – Awaiting docs as per attached 8th email attached.
- Hyperion Air, LLC – DueDate 08/18/2018 – Docs & confirmation required as per attached 10th email
- JEJE, Inc – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- JEJE, LLC – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- Plan D, LLC – DueDate 08/18/2018 – Docs & confirmation required as per attached 9th email.
- Jeepers, Inc - DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- Mort, Inc - DueDate 08/18/2018 – Awaiting docs as per attached 6th email attached.
- Zorro Management, LLC - DueDate 08/18/2018 – Awaiting docs as per attached 5th email attached.