

Material herein regarding IWP products, investment ideas and solutions is for discussion purposes only. While brokerage services offered through the IWP Americas desk may include investment recommendations and brokerage advice, IWP does not provide investment management or investment advisory services, and private market opportunities and other products and services available through IWP are offered only on a non-advisory basis.

This communication is confidential and personal to you, solely for your information and for discussion purposes only, and does not create any legally binding obligation. Reproduction or distribution of any material herein without our written consent is strictly forbidden.

From: Ian Salters

Sent: Monday, February 25, 2019 4:00 PM

To: Brian Serino <[REDACTED]>; Karen Johnson <[REDACTED]>

Cc: Bill King <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Nina Tona <[REDACTED]>; Ian Salters <[REDACTED]>

Subject: KYC remediation [1]

Classification: **For internal use only**

Brian/Karen - As previously discussed, the priority list is less than I thought, please see attached clients that need to be onboarded with CIB as a priority:

Bill - can you please take the lead on the ISG clients (this ties into the 32 clients you previously advised of):

Nina / Davide – can you please work together on the IWP clients (understand that Southern Financial is going away):

A) Wealth Management

WM Area	WM Client Name	GM Client Name	WM Contact/ RM Updated	Has the client been through the CIB KYC onboarding process? YES/NO	PRIORITY YES / NO	Customer Number
ISG	140-154 W 72 Realty LLC	140-154 W 72 REALTY LLC	Joanne Jensen	NO	YES	[REDACTED]
ISG	198-202 Elizabeth Street LLC	198-202 & 204-210 ELIZABETH STREET LLC	Joanne Jensen	NO	YES	[REDACTED]
ISG	239-249-247 W 21 Realty LLC	239-243-247 W 21 REALTY LLC	Joanne Jensen	NO	YES	[REDACTED]
ISG	250 E 63 REALTY LLC	250 E 63 REALTY LLC	Joanne Jensen	NO	YES	[REDACTED]
ISG	BioDuro LLC	BioDuro LLC	Susan Moffat	NO	YES	[REDACTED]
ISG	DAVID TODD STEVENS	DAVID TODD STEVENS	Brian Convey	NO	YES	[REDACTED]
ISG	Elysee of Brickell LLC	Elysee of Brickell LLC	Rachel Maglicic	NO	YES	[REDACTED]
ISG	Granite 1717 Hotel LLC	GRANITE 1717 HOTEL LLC	Joseph Sabbagh	NO	YES	[REDACTED]
ISG	Internet Resources Management, Inc	Internet Resources Management, Inc	GAT	NO	YES	[REDACTED]
ISG	MC2 Holdings LLC	MC2 Holdings LLC	Freddy Menjivar	NO	YES	[REDACTED]
ISG	STEVEN J KASSIN & ISAAC S FRANCO JOIA STEVEN J KASSIN & ISAAC S FRANCO JOINTLY & SE		Rosemary Vrablic	NO	YES	[REDACTED]
ISG	Sunset and Doheny Property, LLC	SUNSET & DOHENY PROPERTY LLC	Deirdre Judge	NO	YES	[REDACTED]

B) IWP

WM Area	WM Client Name	GM Client Name	WM Contact/ RM Updated	Has the client been through the CIB KYC onboarding process? YES/NO	PRIORITY YES / NO	Customer Number
IWP	Daniel and Suzanne Cohen	Daniel and Suzanne Cohen	Joseph Cothron/Dan Gra	NO	YES	[REDACTED]
IWP	Belford Investments	Belford Investments	Mauricio Pretelt	NO	YES	[REDACTED]
IWP	Euro-Partners Fund	Euro-Partners Fund	Chris Maxmin	NO	YES	[REDACTED]
IWP	GUY WYSER PRATTE	GUY WYSER PRATTE	Chris Maxmin	NO	YES	[REDACTED]
IWP	SOUTHERN FINANCIAL LLC	SOUTHERN FINANCIAL LLC	Stewart Oldfield	NO	YES	[REDACTED]
IWP	The Lamia Ventures Corporation	The Lamia Ventures Corporation	Mauricio Pretelt	NO	YES	[REDACTED]
IWP	Vanguardia Inversiones SAS	Vanguardia Inversiones SAS	Darfa Oliviera/Eduardo	NO	YES	[REDACTED]