

WM Area	WM Client Name	GM Client Name	CBDS #	WM Contact/ RM Updated	PRIORITY YES / NO
IWP	Daniel and Suzanne Cohen	Daniel and Suzanne Cohen		Joseph Cothron/Dan Gra	YES
IWP	AMZAK Capital Management	PWM US AMZAK CAPITAL MANAGEMENT LLC		Rechel Maglicic (RM) Tai	YES
IWP	Armory Fund Limited	Armory Fund Limited		Eduardo Pieta	YES
IWP	Bancard International Investment Inc	Bancard International Investments Inc		Mauricio Pretelt	YES
IWP	Belford Investments	Belford Investments		Mauricio Pretelt	YES
IWP	Dakota Pacific Global Macro Fund LLC	Dakota Pacific Global Macro Fund LLC		Xavier Avila	YES
IWP	Endurance Voyages LLC	ENDURANCE VOYAGES, LLC		Michael King	YES
IWP	Euro-Partners Fund	Euro-Partners Fund		Chris Maxmin	YES
IWP	GEORGE B KAISER	GEORGE B KAISER		Michael King	YES
IWP	GUY WYSER PRATTE	GUY WYSER PRATTE		Chris Maxmin	YES
IWP	JAWS CAPITAL LP	JAWS CAPITAL LP		Michele M Quattrocchi	YES
IWP	Lepton Fund Ltd	Lepton Fund Ltd		Eva Pace	YES
IWP	O3 Capital Global Fund	O3 Capital Global Fund		Eduardo Pieta	YES
IWP	PARKWOOD LLC	Parkwood LLC		not in DBF	YES
IWP	Rentas Hay International Inc	Rentas Hay International Inc		Mauricio Pretelt	YES
IWP	SOMERSTON INVESTMENTS LTD	SOMERSTON INVESTMENTS LIMITED		Mark Westhoff	YES
IWP	SOUTHERN FINANCIAL LLC	SOUTHERN FINANCIAL LLC		Stewart Oldfield	NO
IWP	The Lamia Ventures Corporation	The Lamia Ventures Corporation		Mauricio Pretelt	YES
IWP	TOW, LEONARD RELATIONSHIP	Equity Investments, LP		Sean Jules	YES
IWP	Tradeinvest Financial Holdings Ltd	Tradeinvest Financial Holding LTD		Terri Sohrab	YES
IWP	Vanguardia Inversiones SAS	Vanguardia Inversiones SAS		Dcarla Oliveira/Eduardo	YES

Thanks for all your help in advance.

Nina – can you please add to tracker.

Ian

From: Kareen Johnson

Sent: Tuesday, February 26, 2019 11:53 AM

To: Ian Salters <[REDACTED]>; Brian Serino <[REDACTED]>

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

Yasmeen Alim <[REDACTED]>; Jamaal Bushara <[REDACTED]>; Andrea Sandven

<[REDACTED]>

Subject: RE: KYC remediation [1]

Classification: **For internal use only**

Hi Ian,

We will add them to the current pipeline, and assign the cases accordingly.

Thank you !

Kareen Johnson

From: Ian Salters

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

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

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

Salters <[REDACTED]>

Subject: KYC remediation [1]

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