

2	9/7/2016, 6/2/2017, and 8/17/2017	Active	1791049	7/18/2017	Low	WM - PB	GA was unable to identify an EDR case raised after the SAR was filed. Additionally, GA was unable to locate evidence this client was considered for off-boarding after multiple SAR filings. This client remains at low risk rating.	Darren K Indyke
3	12/29/2016	Active	1822198	11/7/2017	High	WM - PCS / Brokerage	GA was unable to identify an EDR case raised after the SAR was filed.	Steven A Tananbaum
4	3/2/2017	Active	1285836, 1311844	12/3/2014	Moderate	WM - PB	GA was unable to identify an EDR case raised after the SAR was filed. Additionally, this client remains at a moderate risk rating.	Metro Joy Management LLC Metro Joy International LLC
5	3/2/2017, 5/5/2017, and 9/8/2017	Active	1311844	10/3/2014	Moderate	WM - PB	GA was unable to identify an EDR case raised after the SAR was filed.	Metro Joy International LLC
6	8/25/2017	Active	GA identified three cases were created on 08/25/27, same day of the SAR filing, where the SAR	9/20/2017	High	WM - PB	No exception noted.	RDW Capital LLC