5. **Metro Joy Management LLC** (SAR filed: 3/2/2017)- Moderate Risk Rating

PB:

KYC case 01285836 created on 9/29/2014:

Cases [2]

Case Number	Case Record Type	Case Subject	Status	Date/Time Opened	Owner Name
[illegible]	KYC - [illegible]	KYC Annual Call Note	4. Approved	[illegible]	[illegible]
01327169	Free Receipt - Security - To GI		Verified	12/16/2014 2:36 PM	Bank Brazil - Asset Transition

Metro Joy Management LLC

[illegible]

tomer Detail

Customer Record Type	Client	Customer Owner	Roxanne Wessen
Customer Name	Metro Joy Management LLC [illegible]	Business PO	
Relationship	WANG RELATIONSHIP	Created By	[illegible], 9/24/2014 1:06 PM
* Type	Organization	Last Modified By	[illegible], 4/24/2015 9:18 PM
SSN		Customer Id	[redacted]
Federal Tax ID #	[redacted]	GLTN Customer Number	[illegible]
Referral Source		Rank	4
Name of Referral Source		* Moderate Risk	✓
Third Party Referral Source		* High Risk	
Status	Active	Risk Reason	KYC 1.05818, Risk Calc. 0.371
Client Since Date	10/3/2014	Risk Type	
Former Client?		Volcker Covered Fund?	
Portfolio Management Team		AP	No
Covenant Contact Preference		RM Appointment	
FBA Client Type	N/A	Gross Entity	
EEA Country(ies)		* Booking Location	
Recommendation		Switzerland	
Last KYC approval date		Form K	
Next Review Date	10/3/2019	KCP	
		Exception Contained	
		Temporary Exception Valid Until	

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Request Primary Officer Change
Request New Relationship
Launch NAO Wizard
View NAO Cases
Launch Due Diligence
Client Assets At Risk
List Client Complaint
Import Documents
Export Documents
View Documents From Repository
Create Annual Client Update
Request ACU Contact Extension
View Exemption Guidelines
Generate Key Relationship Report
Launch ALAT Process
View Loan Covenant Details

Cases:

Search: [illegible]

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Cases (21)

Case Number	Case Record Type	Case Subject	Status	Date/Time Opened	Owner Name
[illegible]	KYC - Overture	KYC Annual Call Note	4. Approved	[illegible]	Approved KYC
[illegible]	KYC - Overture	KYC Annual Call Note	6. Approved	[illegible]	Approved KYC
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Killed	[illegible]	Killed Transactions
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing
[illegible]	Cash Disbursement - Wire - USD - Banking		Verified	[illegible]	Banking STP Processing

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