

From: Stewart Oldfield [REDACTED]
Sent: 10/15/2018 9:49:32 AM
To: Bradley Gillin [REDACTED]
CC: Richard Iarossi [REDACTED]
Subject: RE: Weekly Status Update - Week ending 10/12/2018 [1]

Done. Thanks

From: Bradley Gillin
Sent: Monday, October 15, 2018 9:39 AM
To: Stewart Oldfield [REDACTED]
Cc: Richard Iarossi [REDACTED]
Subject: FW: Weekly Status Update - Week ending 10/12/2018 [1]
Importance: High

Classification: **For internal use only**

Stew,

Push below cases to the next KYC queue. Thanks.

KYC Case**01977703** - Southern Financial LLC & LSJE, LLC *(For Stewart)*

KYC Case**01977699** - J. Epstein Virgin Islands Foundation, Inc; Hyperion Air, LLC *(For Stewart)*

Regards,
Brad

From: Vijay-A Sawant
Sent: Monday, October 15, 2018 9:11 AM
To: Bradley Gillin [REDACTED]; Richard Iarossi [REDACTED]
Cc: Mayur Rathod [REDACTED]; Vinita Advani [REDACTED]
Subject: Weekly Status Update - Week ending 10/12/2018
Importance: High

Hello Brad,

Apologies, I was meant to send this on Friday, but here it is, belatedly. The counts are provided for each risk rating indicated by H for High risk, M for Moderate & L for Low. Let me know if you have any queries, thanks.

2018 HR Update:

Status	Count	Notes
Client not started	H - 0; M - 39 & L - 52	
Client Outreach	H - 21; M - 6 & L - 0	
Exclusion Completed	H - 12; M - 0 & L - 0	All Sillerman accts are being handled by ABR on account of bankruptcy filing by the SOW - Jeffrey Epstein
Fully Approved	H - 19; M - 1 & L - 0	
Initial Due Diligence	H - 4; M - 1 & L - 0	
Pending Approval	H - 20; M - 0 & L - 0	Accounts with PO are listed below for reference. These need to be pushed to the next stages.
Pending Exclusion	H - 2; M - 0 & L - 0	
Profile Completion	H - 1; M - 0 & L - 0	Expected to be submitted as soon as docs received for GoldenTree