

Quarterly GCF Customer Account File Assessment

Q4 2015 Review

No.	Client Name	Account Number	Approval Date	Risk Level	Physical Address	DOB	Entity Type	EIN / TIN	CIP Notification	Applied for TIN/EIN	Documentary	Non-Documentary	Controlling Persons	UBO Review	UBO Verification	Evidence of Existence of UBO	CIS / PE Questionnaire	RDC / OFAC	PCR	Qualitative Review of Alerts	Risk Rating Questionnaire (applicable post-February 17th)	Foreign Bank Certification and AML Questionnaire	EDD	PEP	High Risk Industry	High Risk Country	Comments
1	Cressa Limited	D1205957	10/6/2015	Low	✓	N/A	✓	N/A	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	Registered/domiciled country incorrect in RRQ
2	Oi European Group B.V.	D1501663	10/7/2015	Low	✓	N/A	✓	✓	✓	N/A	✓	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
3	Enbridge (U.S.) Inc	M15030192	10/8/2015	Low	✓	N/A	✓	✓	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
4	Dexter Axle Company	D1410789	10/9/2015	Low	✓	N/A	✓	✓	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
5	MediaNews Group, Inc	D1506955	10/20/2015	Low	✓	N/A	✓	✓	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	✓	✓	N/A	N/A	No exceptions noted.
6	Kentucky River Properties LLC	D1504735	10/27/2015	Low	✓	N/A	✓	✓	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	N/A	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
7	Endurance Specialty Holdings Ltd	M1503600	11/20/2015	Medium	✓	N/A	✓	✓	✓	N/A	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
8	Revlon Inc	D1509995	11/24/2015	Low	✓	N/A	✓	✓	✓	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
9	Federative Republic of Brazil	M1503287 / 70470	12/3/2015	High	✓	N/A	✓	N/A	✓	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.
10	Frontline Ltd	D1511018	12/8/2015	High	✓	N/A	✓	N/A	✓	N/A	✓	✓	✓	N/A	N/A	N/A	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	No exceptions noted.

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