

GCIS	Client Name	Relationship Name	Last KYC Date	Paper KYC	Client Risk	Status on Tracker	Due Date	IDD Month	Products (Oct-18)	Rev (Sep-18)	CBV (Sep-18)
535514	2004 DEERING FAMILY TRUST UAD 08/12/04 HEATHER CROSBY & AUGUSTUS D WARDEN STEER SARILKA E	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$24
535511	DEERING GIFT TRUST UAD	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$1,880,574
535510	12/09/11 SANDRA F DEERING FAMILY LTD PARTNERSHIP	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$6,633,159
535506	ACE LIMITED PARTNERSHIP MATHEYS LANE	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$3,489,224
535505	GREEN WIZARD INVESTORS LLC THE ROUSE	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$0
535504	COMPANY FOUNDATION Madison Park Capital, LLC	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$3,219,762
493996	Madison Park Capital, LLC	GENERAL ATLANTIC FAMILY OFFICE RELATIONSHIP		Only Paper	Low	Client not started	5/31/2019	Mar 2019	Brokerage	\$0	\$0
565210	Echelon Investment Partners Master L.P. Falcon Trail Capital, LLC	SK FAMILY OFFICE RELATIONSHIP		Only Paper	Low	Client not started	4/30/2019	Feb 2019	Brokerage	\$0	\$0
492049	Falcon Trail Capital, LLC	SK FAMILY OFFICE RELATIONSHIP		Only Paper	Low	Client not started	4/30/2019	Feb 2019	Brokerage	\$0	\$0
451399	508 West 25th Street, LLC	LINDEMANN FAMILY RELATIONSHIP		Only Paper	Low	Client not started	4/30/2019	Feb 2019	Residential Mortgage	\$0	\$0
442683	Coal Creek Farm, LC, a Florida Limited Liability Company	LINDEMANN FAMILY RELATIONSHIP		Only Paper	Low	Client not started	4/30/2019	Feb 2019	Residential Mortgage	\$0	\$0
175040	INCOMPASS SOLUTIONS, INC. Grayson-Jockey Club Research Foundation, Inc.	JOCKEY CLUB RELATIONSHIP		Only Paper	Low	Client not started	7/31/2019	May 2019	Global Deposits	\$1,008	\$94,105
121757	Club Research Foundation, Inc.	JOCKEY CLUB RELATIONSHIP		Only Paper	Low	Client not started	7/31/2019	May 2019	Brokerage	\$118	\$15,194,550
535561	Deering, Sandra	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	8/31/2019	Jun 2019	Brokerage	\$0	\$63,471
535522	DEERING, MARON M	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	8/31/2019	Jun 2019	Brokerage	\$3,581	\$3,674,067
535519	Deering, Maron M	DEERING/CROSBY RELATIONSHIP		Only Paper	Low	Client not started	8/31/2019	Jun 2019	Brokerage	\$366	\$1,731,791
496075	JSC Interiors LLC	SOUTHERN FINANCIAL RELATIONSHIP	12/2/2014	Digital KYC	Low	Client not started	9/30/2019	Jul 2019	Global Deposits	\$2,194	\$96,853
490561	Diamond B Capital, Inc.	BOIES FAMILY RELATIONSHIP	5/30/2014	Digital KYC	Low	Client not started	9/30/2019	Jun 2019	Alternative Investments, U.S. Invntmt Adv	\$494	\$2,884,679
474213	Ellin, Howard	ELLIN, HOWARD RELATIONSHIP	1/8/2015	Digital KYC	Low	Client not started	9/30/2019	Jun 2019	Alternative Investments, U.S. Invntmt Adv	\$271	\$198,243
472506	TJC Media Ventures, Inc.	JOCKEY CLUB RELATIONSHIP	3/2/2012	Digital KYC	Low	Client not started	12/31/2019	Sep 2019	Global Deposits	\$298	\$49,402