

**From:** Bradley Gillin [REDACTED]  
**Sent:** 10/15/2018 9:39:28 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

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**From:** Vijay-A Sawant  
**Sent:** Monday, October 15, 2018 9:11 AM  
**To:** Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>  
**Cc:** Mayur Rathod <mayur.rathod@db.com>; Vinita Advani <vinita.advani@db.com>  
**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
Quality Rejection	H - 11; M - 10 & L - 1	
<b>Grand Total</b>	<b>200</b>	

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

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

KYC Case**01981931** - Goldentree High Grade Floating Rate Fund GP LLC (For Brad)

KYC Case**01984308** - Goldentree Loan Management GP, LLC (For Brad)