

PEP - William M.E. Simon Sr.

During the time period of review of January 2016 - J Peter Simon – accounts [REDACTED] and [REDACTED] were reviewed.

**Account [REDACTED]:**

Account had 9 outgoing transfers totaling \$1,559,621.36 and received 5 transfers totaling \$739,621.36.

The outgoing transactions were as follows:

- 5 outgoing wires totaling \$1,550,000.00 to client's DB account [REDACTED]
- 4 outgoing transfers totaling \$9,621.36 as Transfer From Inc To Prin Same Account Stn Dividend Reinvestment

The incoming transactions were as follows:

- 1 incoming transfer for \$730,000 from client's DB account [REDACTED] referencing Distribution
- 4 incoming transfers totaling \$9,621.36 Transfer From Inc To Prin Same Account Stn Dividend Reinvestment

**Account [REDACTED]:**

Account had 2 outgoing transfers totaling \$174.42 and received 1 transfer for \$0.81 as follows:

- On 1/6/16 for \$0.81 as Transfer From Inc To Prin Same Account
- On 1/6/16 for \$0.81 as Transfer From Inc To Prin Same Account
- On 1/22/16 for \$173.61 to Neuberger Berman referencing Investment Management Fees

**Comment [TM1]:** 2 \$0.81 transfers  
INCOMING/.OUTGOING

(investment manager - <http://www.nb.com/pages/public/global/our-firm.aspx>)

**Account [REDACTED]: \$28,703.77**

Account had 15 outgoing transfers totaling \$1,266,131.09 and received 12 transfers totaling \$2,406,601.58.

The incoming transfers were as follows:

- 3 incoming wires totaling \$125,036.57 as follows:
  - On 1/12/16 for \$112,750 from South Street Capital L P referencing Distribution(related)
  - On 1/29/16 for \$12,179 from William E Simon Sons LLC referencing "Guaranteed PYMT -2015 True Upper Memo DTD 01/29/15" (related)
  - On 1/29/16 for \$107.57 from South Street Capital L P referencing Distribution

For internal use only