

# IWP weekly onboarding tracker - Week ending 15<sup>th</sup> February'19



# Weekly Onboarding Tracking Update

## Onboarding Pipeline

	<u>WM</u>	<u>CIB</u>
High	4	6
Medium	3	5
Low	5	8
<b>Total</b>	<b>11</b>	<b>19</b>

## Successfully Onboarded

	<u>WM</u>	<u>CIB</u>		
<ol style="list-style-type: none"> <li>Vellar</li> <li>Murray</li> <li>Map Investco</li> <li>Grupo Laboratorios Imperiales Pharma SA de CV (2 accounts)</li> </ol>	<ol style="list-style-type: none"> <li>Parkwood LLC</li> <li>Simon Charitable Private LLC</li> <li>Petrus Asset Management Company</li> <li>Penn Capital Management Company, INC.</li> <li>Alden Global Capital LLC</li> <li>Black Maple Capital Management LP</li> <li>Petrus Yield Opportunity Fund</li> <li>Simon Marketable L.P.</li> </ol>			
<b>Onboarded</b>	<b>NCA</b>	<b>Extension</b>	<b>Refresh</b>	<b>Remediation</b>
<b>Total 12</b>	<b>4</b>	<b>0</b>	<b>2</b>	<b>6</b>

# Weekly Onboarding Tracking Update

## High Priority Cases

### CIB

Client Name	Date Started	Target Due Date	Age	Pending With	IWP Contact	Issues/Comments Outstanding
Inversiones Alabama Limitada	1/12/2017	2/15/2019	764	Client;AFC	Martin Zeman	1. Awaiting updated W8 from client. 2. Provided name clarification to AFC, pending final approval from AFC.
Deprince, Race & Zollo	12/24/2018	3/15/2019	51	Client	Martin Zeman	Pending with G.K as of 1.16.19 client has not responded
Black Maple Capital Partners	2/8/2019	3/15/2019	7	Client	Alan Brody	List of NCA requirements have been sent to client 2.8.2019, awaiting client response
Lynrock Lake	2/13/2019	2/28/2019	2	IWP	Alan Brody	COB sent list of requirements 2.15.2019. IWP reviewing prior to sending to client
DA Capital LLC	2/13/2019	3/15/2019	2	Client;IWP	Alan Brody	COB sent list of requirements 2.15.2019. IWP reviewing prior to sending with client.
Staple Street Global Opportunities (Master) L.P	2/13/2019	3/15/2019	2	COB	Alan Brody	Need list from COB. Sent ask 2.13.19. Need to specify extension product, but just refresh for now. DA Capital LLC=Investment Manager
W De Argentina Inversiones S.A	2/13/2019	3/15/2019	2	COB	Billy Obregon	Need to remediate. Need list from COB. Sent ask 2.13.19

### WM

Client Name	Date Started	Target Due Date	Age	Pending With	IWP Contact	Issues/Comments Outstanding
Jon Gruber	12/15/2018	2/28/2019	62	IWP;Banker;Client	Alan Brody	WM KYC completed 02.13.2019. NAO Brokerage documents are with IWP. Incomplete documents have been sent to banking team 2.15.2019
L2 Capital	1/1/2019	2/28/2019	45	IWP	Joshua Shoshan	DB Documents and SOW narrative received from client 01/31/2019. Incomplete, will be reviewed and we will go back to client. KYC completed 2.7.2019 NAO case has been submitted. Documents under review by BSO 2/15
Oasis Capital	1/1/2019	2/28/2019	45	IWP	Joshua Shoshan	DB Documents and SOW narrative received from client 01.31.2019. Incomplete, will be reviewed and we will go back to client. KYC completed 2.7.2019. NAO case has been submitted. Documents under review by BSO 2.15.2019
David Hamamoto	2/14/2019	2/22/2019	1	Client	Joshua Shoshan	Banking team reaching out to client to obtain KYC on-boarding information/documentation.