

COVERAGE-Domestic

Case Number	Customer Name	Created By	Opened Date	Product Description	Exception Ex
pires	Created Alias	Escalation Manager	Silo	Reason for Exception	Fax Copies Exception
Days Overdue					
01175721	107227 Canada Inc	Janet Sible	1/8/2014	IA	ABR- Please vett the signors with W-8 Ben for approval. NAO Case# 7306319 (FOR ADVISOR SELECT IA ACC) KYC# 1156121 Contact: Janet Sible 312-952-9280 New ADVISOR SELECT account - Manager Clearbridge 1/22/2014 PB S
01250909	9800 La Cienega, LLC	Mayra Fonseca	6/30/2014	Business Checking	ABR
01163565	Millstein & Co. LLC	Marjorie Hansen-Cosby	12/12/2013	Banking	ABR, Please vett the signatories and approve the case with W-9. NAO Case#7187995 KYC#839146 Contact: Marjorie Hansen-Cosby 12/18/2013 PB S-NY Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
01244488	Gummy HR, LLC	Cynthia Rodriguez	6/16/2014	1 Week TE for corrected Cert of LLC Resolutions N	251
01255244	Lazar & Faigy, Inc.	Brigid Ehrenberg	7/10/2014	New Business Checking without Interest account On Line Banking:-No DDA Rate Type:- 10 APY:-0.00%	
01287301	Heinz Eppler Life Insurance Trust 1993	Anna-Sofiya Lupolover	9/30/2014	ABR	

orary exception granted for the DB corporate resolutions. E-mail is attached N 226
 reserved Account Number- [REDACTED] Thank you. 7/22/2014 PB S-LA #N/A COVERAGE-Domestic
 This case has been given temporary exception for two Weeks for W-9 Tax form by Vaishali-p Mehta.
 N 97
 Please approve with approved W-9 Thanks Please open new money market KYC 1236985 NAO 8128595 R
 Please approve with temporary exception of 30 days as per the email so we can track the originals N 101
 ABR, Please vett the signers and approve the case with W-9 PLEASE OPEN ACCOUNT: LAZAR & FAIGY, INC. NAO 8061395 KYC 01215485 7/25/2014
 Temporay exception has been approved for two weeks, to obtain the new version of the W9 (version August 2013). See attached approval. N 94
 Please open a checking account for Eppler Life Insurance Trust U/A/D 09/14/93. KYC Case -- 01284216 NAO Case -- 8554143 Please email [REDACTED] with Account # as soon as it is completed. 10/14/2014 PB S-NY #N/A COVERAGE-Domestic
 2 week temporary exception is approved for our standard letter to be signed by the Trustee and the Limited Agents, to be provided by Tammy N 37