

US-Onshore\_HRIPM\_Due2017

Customer Name	Customer Number	Primary Officer	High Risk	InPerson	Meeting
Due Year	Past-Due Explanation	Bank	Auto	Exempt	Reason
Client Since Date					
Hernstadt, Edward W. 3/20/1985		Liz Payne	2017		1
CLAWSON, CURTIS J 1/24/2003		Sean Jules	2017		1
Sillerman, Robert F.X. 1/5/2007		Terri Sohrab	2017		1
Allen, Paul Gardner 12/8/2009		Russell Daulton	2017		1
Desnick, James 7/22/2008		Rosemary Vrablic	2017		1
Desnick, Ahuva 7/29/2014		Rosemary Vrablic	2017		1
DEG Capital G.P. 1 Inc. 1 9/17/1997		Terrence Tangney			2017
Big River Real Estate, LLC 1 12/31/2007		Brian Convey			2017
The 2000 Robert and Laura Sillerman Descendants' Trust Terri Sohrab 2017 1 9/15/2008					
Comsup Commodities Inc 1 4/27/2009		Rosemary Vrablic			2017
Comsup Ltd. 12/26/2008		Rosemary Vrablic	2017		1
Comsup Minerals Ltd 1 12/26/2008		Rosemary Vrablic			2017
Atlas Real Estate Funds, Inc. 1 12/23/2008		Terri Sohrab			2017
Charles G. Koch 1997 Trust 1 7/29/2009		David Rodin			2017
Profile Property Trust Dated 3/16/2005 2017 1 8/7/2009					Susan Burnett
Antelope Insurance Company, Inc. 2017 1 12/29/2009					Deirdre Judge
Hymowitz, Gregg Jolli Four, LLC		Joanne Jensen	2017	1	12/14/2010
EDF LLC 00000458968 20 East 64th Street, LLC		Joanne Jensen	2017	1	12/20/2010
1 7/18/2011		Joanne Jensen			11/21/2011
Infinity LW 12th Street, LLC 2017 1 6/17/2011					2017
LW 12th Street Holding, LLC 2017 1 6/17/2011					Rosemary Vrablic
IL MULINO USA, LLC 1 6/29/2011		Rosemary Vrablic			Rosemary Vrablic
Guardian Investment Company Ltd. 2017 1 6/27/2011					2017
Perpetual Aviation, LLC 1 9/6/2011		Rosemary Vrablic			2017

A-GRADE INVESTMENTS II LLC			Deirdre Judge	2017	
1	11/15/2011				
Winklevoss, Cameron			Joanne Jensen	2017	1
5/29/2012					
Winklevoss, Tyler			Joanne Jensen	2017	1
5/29/2012					
MDeG Investment Group, LLC			Terrence Tangney		
2017	1	7/3/2012			
Carlyle Energy Mezzanine Opportunities Fund - Q, L.P.					
Joanne Jensen	2017	1	9/6/2012		
The 2012 Diana L. Mercer Family GST Trust					Mary Ann
Coleman	2017	1	9/26/2012		
Noah B. Mamet Revocable Trust			Deirdre Judge	2017	
1	2/13/2013				
Stallion 44, LLC			Rosemary Vrablic	2017	
1	3/12/2013				
Rockpoint Real Estate Fund IV LP			Rosemary		
Vrablic	2017	1	6/14/2013		
Zelenko, Jill			Joanne Jensen	2017	1
Sunbridge Holdings, LLC			Malcolm Kimble	2017	1
6/27/2013					
Marriott, Stephen Blake			Brian Convey	2017	1
8/20/2013					
New Balloon Investments, LLC			David Rodin	2017	
1	9/20/2013				
3075 Wilshire, LLC			Susan Burnett	2017	1
11/8/2013					
WS Paley 68 Suppl Tr SC Burden III Et Al					Rachel Maglicic
2017	1	2/26/2014			
WS Paley 68 Prmry Tr SC Burden III Et Al					Rachel Maglicic
2017	1	2/25/2014			
Honey Badger Investments LLC			Deirdre Judge	2017	
1	11/26/2013				
Rousseau, Douglas E			Salvatore E. Moore	2017	
1	1/30/2014				
Casterlirrock Holdings, LLC			Joanne Jensen	2017	
1	4/16/2014				
Schwartz, Alan E.			Salvatore E. Moore	2017	
1	6/4/2014				
KKR Holdings, LP			Michael King	2017	1
5/13/2014					
9800 La Cienega, LLC			Susan Burnett	2017	1
7/9/2014					
KYUNG KU CHO AND DEBRA MIHEI CHO REVOCABLE TRUST					Susan
Burnett	2017	1	7/17/2014		
EnTrust Palmetto LLC			Joanne Jensen	2017	1
6/10/2014					
The ABEN Liquidating Trust			Rosemary Vrablic		
2017	1	6/26/2014			
The James and Debbie Cho Foundation					Susan Burnett
2017	1	6/27/2014			

David E.I. Pyott Trust dtd 04/18/2014				Jake Block
2017 1 9/10/2014				
Julianna Eva Pyott Trust est 06/20/2014				Jake Block
2017 1 9/10/2014				
Alliance for a Free Society, Inc.				David Rodin
2017 1 8/6/2014				
Coalition for a Better Wichita, Inc.				David Rodin
2017 1 8/7/2014				
Arbiter Special Opportunities Fund I LP				Joanne Jensen
2017 1 9/25/2014				
Arbiter Special Opportunities Fund II LP				Joanne Jensen
2017 1 9/25/2014				
Zisook Enterprises L.P. [REDACTED]	Michael E. McCarthy		2017	
1 10/7/2014				
Michelle Desnick Minority Trust dtd 8/14/89				Rosemary
Vrblc 2017 1 9/16/2014				
Jordan Desnick Minority Trust [REDACTED]				Rosemary Vrblc
2017 1 9/16/2014				
Desnick Descendants Irrevocable Trust				Rosemary
Vrblc 2017 1 10/3/2014				
Active View, LLC [REDACTED]	Deirdre Judge		2017 1	
10/9/2014				
LHRB LLC [REDACTED]	Joanne Jensen	2017	1	11/20/2014
Bee's Center Films LLC [REDACTED]	Joanne Jensen	2017	1	
11/20/2014				
Do It Again, LLC [REDACTED]	Joanne Jensen	2017	1	
12/5/2014				
Cameron Winklevoss Family Exchange Trust				Joanne Jensen
2017 1 10/23/2014				
Tyler Winklevoss Family Exchange Trust				Joanne Jensen
2017 1 10/23/2014				
AFSF II AIV-D LP [REDACTED]	Joanne Jensen	2017	1	
12/5/2014				
Blackstone Property Partners Lower Fund 1 L.P.				Joanne
Jensen 2017 1 11/20/2014				
Infinity Equity Ventures LLC [REDACTED]				Rosemary Vrblc
2017 1 11/26/2014				
Blackstone Property Partners L.P.				Joanne Jensen
2017 1 11/20/2014				
AFSF II AIV Investors - D L.P. [REDACTED]	Joanne Jensen	2017		
1 12/5/2014				
Gemini IP, LLC [REDACTED]	Joanne Jensen	2017	1	12/17/2014
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US-Onshore\_HRIPM\_PastDue

Customer Name	Customer Number	Primary Officer	High Risk	InPerson	Meeting
Due Year	Past-Due Explanation	Bank	Auto	Exempt	Reason
Client Since Date					
L P Weicker Est H Weicker Et At Tr					Andrea
Nicoletti 1986 1 2/17/198					
L P Weicker Est T M Weicker Et Al Tr					Andrea
Nicoletti 1986 1 2/17/198					
L P Weicker Est Mary A Mellor Etal Tr					Andrea
Nicoletti 1986 1 2/17/1983					
GEORGE L K FRELINGHUYSEN TRUST			Liz Payne		1997
1 7/27/1994					
Bunzel, Eli		Joanne Jensen	2016	1	9/4/2013
Bunzel, Maxwell		Joanne Jensen	2016	1	1/15/2013
Bunzel, Mary		Joanne Jensen	2016	1	1/8/2013
MARY ELIZABETH BUNZEL 2009 IRREVOCABLE TRUST UAD			09/11/09		
	Joanne Jensen	2016	1	1/10/2013	
Nevada Land III LLC			Rosemary Vrablic		2016
1 8/13/2009					
Levitt Jr., Arthur		Joanne Jensen	2016	1	
12/22/2009					
Fertitta, Tilman		Malcolm Kimble	2015	1	
12/31/2012					
Loeb Jr, John		Salvatore E. Moore	2016	1	
3/27/2013					
Zappala, Joseph		Joanne Jensen	2016	1	4/17/2013
John L. Loeb Associates, Inc. Employee Pension Plan					
Salvatore E. Moore	2016	1	5/9/2013		
The Mercer Family 2009 Non-Exempt Trust f/b/o Heather Sue Mercer					
	Mary Ann Coleman	2016	1	7/3/2013	
The Mercer Family 2009 Non-Exempt Trust f/b/o Jennifer L. Mercer					
	Mary Ann Coleman	2016	1	7/3/2013	
The Mercer Family 2009 Non-Exempt Trust f/b/o Rebekah Mercer					
	Mary Ann Coleman	2016	1	7/3/2013	
STB Holdings L.P.	00000485824		Michael S. Jacoby		2016
1 9/26/2013					
JEGE, LLC		Stewart Oldfield	2016	1	
10/18/2013					
Plan D, LLC		Stewart Oldfield	2016	1	
10/18/2013					
GNLC Holdings, Inc.		Malcolm Kimble	2015	1	
11/20/2013					
Marjorie S Daitch Revocable Trust					Salvatore E.
Moore 2016 1 7/22/2013					
Lone Star Fund VI (U.S.), L.P.			Rosemary Vrablic		
2016	This client is exiting by the end of 2017 the latest. the client is aware that DB is exiting the PE business. This account also belonged to Marcy Morgan who is no longer with the bank.				
			1	7/1/2008	

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US-Onshore\_TempExceptDue

Temporary Exceptions- Domestic

Overdue by more than 90 days/Closing Queue Due in

Overdue by more than 60 days

Overdue by more than 30 days

Case Number	Customer Number	Customer Name	Customer Record	Type
Relationship Number	Customer Owner	Exception Expires	MSR	Silo
Exception (If Applicable)	Days Overdue	MSR	Silo	Reason for

[REDACTED]	[REDACTED]	691 St Nicholas JV LLC	Client	
[REDACTED]	Rosemary Vrablic	5/31/2017	****extended.	30-

day exception for executed operating agreement of 691 St Nicholas JV LLC. See attached Compliance approval for extension until 4/14/2017. -30

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01618173	UNICOM Technology Park, Inc.

Prospect	[REDACTED]	Dan Gray	6/24/2017	Temporary
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exception to obtain a Borrowers Resolution. Extended for 90 more days (see email attached) 11/22/2016 Extended for 4 more weeks. See email attached (2/24/17). Extended for 90 days (3/24/17) -54

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
[REDACTED]	Fanjul, Alfonso
[REDACTED]	Prospect

[REDACTED]	Oti Roberts	5/21/2017	The standard 90 days
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temporary exception for executed trust agreement, TIN, and date of incorporation has been granted for this KYC. 60 days extension approved on 3/21/17. -20

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
[REDACTED]	691 St Nicholas JV LLC
[REDACTED]	Client

[REDACTED]	Rosemary Vrablic	5/31/2017	**extended**	See
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KYC 1609297 for temporary exception for executed operating agreement of 691 St Nicholas JV LLC. See attached Compliance approval for extension until 4/14/2017. -30

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01699159	The Janet and Earl Seekins Family
Foundation	Client

[REDACTED]	Terrence Tangney	5/8/2017	30 day Temporary
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exception to obtain the IRS letter providing the client with an exempt status -7

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01704241	Colony Lascombes Partners, L.P.
Prospect	Susan Burnett

7/24/2017 Monitoring the ongoing investigation -84

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01739673	Leonard N. Stern Family Trust
[REDACTED]	Client

[REDACTED]	Mary Ann Coleman	5/3/2017	TIN and Date of
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registration for the trust. 3/22/2017: executed trust is attached. The TIN and date of the establishment for the trust are documented on the case comments. (Cleared) Exco approval -2

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01752644	Batmasian, Marta
[REDACTED]	Client

[REDACTED]	Rachel Maglicic	10/6/2017	Monitoring of ongoing
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litigation. -158

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore
01755879	Capital University
[REDACTED]	Client

[REDACTED] Terrence Tangney 5/10/2017 30-day temp  
 exception for full KYC info in compliance with updated policy -9  
 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
 01758801 [REDACTED] Lascell, Daniel M. Client

[REDACTED] Terrence Tangney 5/12/2017 30-day temp  
 exception for full KYC info in accordance with updated policy, additionally,  
 BIS searches for SOW Appirio are required in accordance with updated  
 policy -11 Armen Brash, Andrew Galivan, Michael J. Davis, Michael  
 Jacoby US-Onshore  
 01759276 [REDACTED] Kimball-Ruttenberg, Jemma Q. Client

[REDACTED] Terrence Tangney 5/5/2017 30-day temp  
 exception for full KYC info in compliance with updated policy, full KYC  
 party searches -4 Armen Brash, Andrew Galivan, Michael J. Davis,  
 Michael Jacoby US-Onshore  
 01759745 [REDACTED] Todd R. Wanek 2015 GRAT Client

[REDACTED] Stewart Oldfield 5/2/2017 10-day temp  
 exception for RM approval, please see attached email -1 Armen  
 Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
 01760109 [REDACTED] The Patricia A. Russo Personal Residence  
 Trust - 1998 Client [REDACTED] Joanne Jensen 7/9/2017  
 Standard 90-day exception for executed trust agreement. -69 Armen  
 Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
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US-Onshore\_TmpExcptOver

Temporary Exceptions- Domestic (All Overdue) 5/1/2017

Overdue by more than 90 days/Closing Queue

Overdue by more than 60 days

Overdue by more than 30 days

Case Number	Customer Number	Customer Name	Customer Record	Type
Relationship Number	Customer Owner	Exception Expires	MSR	Silo
Exception (If Applicable)	Days Overdue			Reason for
01637120	[REDACTED]	Equities First Holdings, LLC		
Prospect	[REDACTED]	Vanessa Simonetti	3/20/2017	

Pending investigation. -DB was notified by their sub-custodian that the Thai Police were "investigating" First Equities LLC. The WM business attempted to get more information about the scope of the investigation (e.g. is it civil, is it criminal, does it concern First Equities LLC or another entity, etc.), but were unable to obtain any additional information. It was agreed that a "standard" Level II Public Records (ie REDD Cat 2) investigation, and an APAC vendor (Blue Umbrella) provided report to DB dtd September 4th, 2015. Findings were reviewed with Wayne Salit and Armen Bras, and all agreed that it did not warrant exiting the relationship. However, it was agreed that relationship will be upgraded to 'high-risk' and reviewed every six months for the next few years. (see attached Blue Umbrella report and email confirmation summary from Wayne Salit). 42

Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore

01758071 [REDACTED] Durwood Wilmot Ringo Revocable Trust

Client [REDACTED] Terrence Tangney 4/28/2017 TE to

complete all the fields in the KYC profile including the Volcker flag.

3 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby

US-Onshore

01758149 [REDACTED] Patricia Louise Ringo Revocable Trust

Client [REDACTED] Terrence Tangney 4/28/2017 TE to

complete all the fields in the KYC profile including the Volcker flag.

3 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby

US-Onshore

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Acct opening exceptions

Case Number	Customer Name	Created By	Opened Date	Product
01754160	BPP F.1 DE Viking 3 LP	Melisa Venegas	3/23/2017	
30 day exception for CRP for the following accounts: BPP F.1 DE Viking LP (Contributing) 42966962 BPP F.1 DE Viking LP (Operating) 42966970 BPP F.1 DE Viking 2 LP (Contributing) 42966989 BPP F.1 DE Viking 2 LP (Operating) 42966997 BPP F.1 DE Viking 3 LP (Contributing) 42967009 BPP F.1 DE Viking 3 LP (Operating) 42967017 BPP F.1 DE Viking 4 LP (Contributing) 42967041 BPP F.1 DE Viking 4 LP (Operating) 42967068 BPP F.2 DE Viking LP (Contributing) 42967076 BPP F.2 DE Viking LP (Operating) 42967498 BPP F.2 DE Viking 2 LP (Contributing) 42967084 BPP F.2 DE Viking 2 LP (Operating) 42967092 BPP F.2 DE Viking 3 LP (Contributing) 42967105 BPP F.2 DE Viking 3 LP (Operating)				
42967113	4/21/2017	ABR	30 day CRP exception for 18 entities N 12	
01443412	Axia Realty, LLC	Anna-Sofiya Lupolover		
8/21/2015	ABR, Please vett the signers and approve the case with W-9 Please open a checking account for Axia Realty, LLC. There is already a money market account opened for this entity. KYC: 01352638 NAO: 10157045 Please email [REDACTED] with the account # once the account is opened. Thank you.			
Resolution	N	435	9/8/2015	MNGMNT Updated LLC

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