

## US-Onshore\_HRIPM\_PastDue

Customer Name Explanation	Customer Number Bank	Primary Officer Auto Exempt Reason	High Risk Client	InPerson Meeting Since Date	Due Year Offshore Account	Past-Due Open Date	Exp Date
MSR Silo							
The 1990 Vernon E. Jordan, Jr. Irrevocable Life Insurance Trust	00000480029	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terrence Tangney	2015	1	1/7/2013	US-Onshore
THE HICKEY FAMILY FOUNDATION DEFINED BENEFIT PENSION PLAN	00000480230	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Susan Burnett	2010	1	2/5/2013	US-Onshore
Fertitta, Tilman	00000480226	Malcolm Kimble	Michael J. Davis, Michael Jacoby	2015	1	12/31/2012	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
GNLC Holdings, Inc.	00000489224	Malcolm Kimble	Michael J. Davis, Michael Jacoby	2015	1	11/20/2013	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Vernon E. Jordan, Jr. Revocable Trust	00000440507	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terrence Tangney	2014	1	4/16/1991	US-Onshore
Lone Star Real Estate Fund II (U.S.), L.P.	00000467286	Rosemary Vrablic	Michael J. Davis, Michael Jacoby	2015	1	8/18/2011	US-Onshore
Institute for the Preservation of Arts and Culture Limited	00000474130	Liz Payne	Michael J. Davis, Michael Jacoby	2015	1	8/3/2012	US-Onshore
Brown, Peter F	00000248314	Mary Ann Coleman	Michael J. Davis, Michael Jacoby	2008	1	9/21/2005	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Ataman, Ural	00000175071	Terrence Tangney	Michael J. Davis, Michael Jacoby	2006	1	5/9/2003	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Booker Company, Inc.	00000219021	Andrea Nicoletti	Michael J. Davis, Michael Jacoby	2011	1	7/12/2000	Arme
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
The Unity Trust	00000219920	Carolyn Botzenhard	Michael J. Davis, Michael Jacoby	2015	1	12/4/2000	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Diouf, Jacques	00000210062	Brian Convey	Michael J. Davis, Michael Jacoby	2009	1	3/6/1998	Armen Brash, Andrew
Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Simon Bloom, Aimee	00000113121	Douglas Robertson	Michael J. Davis, Michael Jacoby	1996	1	6/29/1993	Arme
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Simon, Johanna K.	00000113118	Douglas Robertson	Michael J. Davis, Michael Jacoby	1996	1	6/29/1993	Arme
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Porges, Carol Leigh Simon	00000113120	Douglas Robertson	Michael J. Davis, Michael Jacoby	2008	1	6/29/1993	Arme
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Simon Jr., William E.	00000113124	Douglas Robertson	Michael J. Davis, Michael Jacoby	2012	1	1/14/1994	Arme
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Simon, Julie A.	00000113119	Douglas Robertson	Michael J. Davis, Michael Jacoby	1996	1	6/29/1993	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Streep, Mary Beth Simon	00000113122	Douglas Robertson	Michael J. Davis, Michael Jacoby	1996	1	6/29/1993	Arme
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Shorenstein Realty Services East LLC	00000421852	Lindsay Sanders	Michael J. Davis, Michael Jacoby	2011	1	11/12/2008	Arme
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Mitchell, Cynthia	00000430721	Dan Gray	Michael J. Davis, Michael Jacoby	2012	1	2/25/2009	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
William H. Hernstadt 2008 Irrevocable Trust	00000422496	Liz Payne	Michael J. Davis, Michael Jacoby	2011	1	10/20/2008	US-Onshore
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Simons, Nathaniel	00000410487	Terri Sohrab	Michael J. Davis, Michael Jacoby	2015	1	12/28/2006	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Sea Change Foundation	00000418125	Terri Sohrab	Michael J. Davis, Michael Jacoby	2015	1	5/8/2008	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Wolfensohn, James David	00000417459	Brian Convey	Michael J. Davis, Michael Jacoby	2010	1	11/28/2007	Armen Brash,
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
Profile Property Trust Dated 3/16/2005	00000437863	Susan Burnett	Michael J. Davis, Michael Jacoby	2012	1	8/7/2009	US-Onshore
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				
The 2012 Diana L. Mercer Family GST Trust	00000477782	Mary Ann Coleman	Michael J. Davis, Michael Jacoby	2014	1	9/26/2012	US-Onshore
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore				

## US-Onshore\_HRIPM\_Due2016

Customer Name Explanation	Customer Number Bank	Primary Officer Auto Exempt Reason	High Risk Client	InPerson Since	Meeting Date	Due Year Offshore Account	Past-Due Open	Exp Date
MSR Silo								
Katzoff, Stuart	00000437167	Rosemary Vrablic		2016	1	3/17/2010	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Katzoff, Gerald	00000437170	Rosemary Vrablic		2016	1	11/12/2009	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
SK Baseball Holdings LLC	00000437345	Rosemary Vrablic				2016 1	8/13/2009	
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Hotel26 Operating, LLC	00000456121	Rosemary Vrablic		2016	1	9/27/2010	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Marriott Avery, Nicole L.	00000479674	Brian Convey		2016	1	12/7/2012	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
AK Family Investments, LLC	00000479836	Brian Convey		2016	1	12/26/2012	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Infinity Wooster Street LLC	00000482293	Rosemary Vrablic		2016	1	4/5/2013		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Loeb Jr, John	00000482160	Salvatore E. Moore		2016	1	3/27/2013	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Vickee Jordan Adams	2013 GRAT 00000486896	Terrence Tangney		2016	1	9/26/2013		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
John L. Loeb Associates, Inc. Employee Pension Plan	00000483368	Salvatore E. Moore					2016	
1 5/9/2013		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore					
Biedrins, Andris	00000483934	Masa Sekulic		2016	1	9/12/2013	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Zappala, Joseph	00000482673	Joanne Jensen		2016	1	4/17/2013	Armen Brash, Andrew	
Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Vegas I, LLC	00000483864	Rosemary Vrablic		2016	1	6/21/2013	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Southern Financial LLC	00000483882	Stewart Oldfield		2016	1	8/26/2013	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
The Mercer Family 2009 Non-Exempt Trust f/b/o Rebekah Mercer	00000484462	Mary Ann Coleman						
2016 1 7/3/2013		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-O					
nshore								
The Mercer Family 2009 Non-Exempt Trust f/b/o Heather Sue Mercer	00000484460	Mary Ann Col						
eman 2016 1 7/3/2013		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacob	y					
US-Onshore								
Southern Trust Company, Inc.	00000483883	Stewart Oldfield		2016	1	8/26/2013		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Kassin, Isaac	00000485089	Rosemary Vrablic		2016	1	7/17/2013	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
The Mercer Family 2009 Non-Exempt Trust f/b/o Jennifer L. Mercer	00000484461	Mary Ann Col						
eman 2016 1 7/3/2013		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacob	y					
US-Onshore								
STB Holdings L.P.	00000485824	Michael S. Jacoby		2016	1	9/26/2013	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Anchorage Partners, LP	00000485595	Brian Convey		2016	1	9/26/2013	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Nijjar, Sanjeet	00000452345	Susan Burnett		2016	1	3/28/2011	Armen Brash, Andrew	
Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Infinity NYY2, LLC	00000448051	Rosemary Vrablic		2016	1	2/25/2010	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
YGE Branding, LLC	00000452354	Rosemary Vrablic		2016	1	7/1/2010	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Blue Bay Corp.	00000445552	Terrence Tangney		2016		AML Comment 1/24/13: HR In Person me		
eting not required as client is referral from South Street Advisors and the advisor meets with clien								
t. 1 1/11/2010		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-O					
nshore								
Fundacion Brunilda	00000447243	Terrence Tangney		2016		10/24/13 AML Comment: HR In		
person meeting not required. South Street Advisors referral and no client meeting is required. 1								
1/25/2010		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore					
S Franco Realty, LLC	00000435811	Rosemary Vrablic		2016	1	6/3/2009	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Franco Realty Group, LLC	00000435806	Rosemary Vrablic		2016	1	6/18/2009		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Community Organizations, LLC	00000435801	Rosemary Vrablic		2016	1	6/11/2009		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
SFX Entertainment Inc.	00000472894	Terri Sohrab		2016	1	3/30/2012	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Viggle Inc.	00000460090	Terri Sohrab		2016	1	2/18/2011	Armen Brash, Andrew	
Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
[REDACTED]	00000489505	Stewart Oldfield		2016	1	12/13/2013	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Levitt Jr., Arthur	00000442866	Joanne Jensen		2016	1	12/22/2009	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Carlyle Realty Partners V, L.P.	00000472799	Joanne Jensen		2016	1	4/9/2012	Arme	
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby			US-Onshore					
Gabelli, Marc	00000398349	Mary Ann Coleman		2016		3/30/15: MAC reached out again but d		

id not receive a response 1/2015 MAC reached out twice this month but has not received a response. 1  
2/30/14: MAC tried calling client 2 times in December. Natalie Barak left a voicemail. 1 6/8/  
2006 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
National Academy Of Engineering Fd 00000114768 Michael E. McCarthy 2016 1 1/11  
/1991 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
MST TRUST dtd 03/13/2000 00000219918 Carolin Botzenhard 2016 1 12/4/2000  
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Benenson Funding Corporation 00000028642 Andrea Nicoletti 2016 1 3/20/1986  
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Thornwood Associates Limited Partnership 00000424351 Rosemary Vrablic 2016 1  
11/30/2010 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Lone Star Fund VI (U.S.), L.P. 00000419926 Rosemary Vrablic 2016 1 7/1/2008  
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
SCP Baseball, LP 00000437759 Rosemary Vrablic 2016 1 8/7/2009 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Nevada Land III LLC 00000438525 Rosemary Vrablic 2016 1 8/13/2009 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
The Gary E. Primm Family Trust dated April 10, 1984 00000439260 Brian Convey 2016 1  
12/18/2009 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Infinity PLR 44, LLC 00000443214 Rosemary Vrablic 2016 1 12/10/2009 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
HBRK Associates, Inc 00000487223 Stewart Oldfield 2016 1 11/1/2013 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
New York Strategy Group, LLC 00000487215 Stewart Oldfield 2016 1 11/1/2013  
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Westbury Management Group LLC 00000488487 Rosemary Vrablic 2016 1 11/13/2013  
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Carlyle Realty Partners VI LP 00000487527 Joanne Jensen 2016 1 11/18/2013 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Westpoint Pakistan LLC 00000486678 Rosemary Vrablic 2016 1 9/17/2013 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Hyperion Air, LLC 00000487225 Stewart Oldfield 2016 1 10/18/2013 Arme  
n Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
JEJE, LLC 00000487216 Stewart Oldfield 2016 1 10/18/2013 Armen Brash,  
Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
JEJE, Inc 00000487244 Stewart Oldfield 2016 1 10/18/2013 Armen Brash,  
Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Neptune, LLC 00000487264 Stewart Oldfield 2016 1 10/18/2013 Armen Brash,  
Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
The 2007 Jeffrey E. Epstein Insurance Trust #3 00000487199 Stewart Oldfield 2016 1  
11/1/2013 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
NES, LLC 00000487265 Stewart Oldfield 2016 1 11/8/2013 Armen Brash,  
Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore  
Plan D, LLC 00000487219 Stewart Oldfield 2016 1 10/18/2013 Armen Brash,  
Andrew Galivan, Michael J. Davis, Michael Jacoby US-Onshore

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	Cust
owner Owner	Exception Expires	Reason for Exception (If Applicable)	EM	Days	Overdue
MSR Silo					
01548895	00000454163	Batmasian, Marta	Client	00000454164	Carlos Arrizurieta
9/21/2016	Update on ongoing litigation.		Armen Brash	-82	Armen Brash, Andrew Galivan,
		Michael J. Davis, Michael Jacoby	US-Onshore		
01589365	00000535798	Spencer Family GRAT B	Prospect	00000156618	Liz Payne
8/24/2016	Executed Grat	Armen Brash	-54	Armen Brash, Andrew Galivan, Michael J. Davi	
		Michael Jacoby	US-Onshore		
01589838	00000499416	Blackstone Energy Partners II L.P.	Client	00000410142	Joan
ne Jensen	7/1/2016	Armen Brash	0	Armen Brash, Andrew Galivan, Michael J. Davi	
		s, Michael Jacoby	US-Onshore		
01591639	00000535829	Burns Family Residual Trust	Client	00000251883	Liz Payne
9/7/2016	90 standard temp exception for fully executed agent agreement		Armen Brash	-68	
		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore		
01594454	00000482257	Patricia A. and Stephen C. Schott, 2012 Dynasty Trust	Prospect		
00000435881	Ed Lok 9/10/2016	Standard 90 days temporary exception for executed DB trustee			
		acceptance agreement has been approved	Armen Brash	-71	Armen Brash, Andrew Galivan, Michael
		J. Davis, Michael Jacoby	US-Onshore		
01603565	00000481415	Carlyle Global Financial Services Partners II LP	Prospect		
00000409003	Joanne Jensen 7/29/2016	Temp Exception granted for Joinder Agreement which w			
		ill be obtained at closing	Andrew F Gallivan	-28	Armen Brash, Andrew Galivan, Michael
		J. Davis, Michael Jacoby	US-Onshore		

## US-Onshore\_TmpExcptOver

Case Number	Customer Number	Customer Name	Customer Record Type	Relationship Number	Cust
Owner	Exception Expires	Reason for Exception (If Applicable)	EM	Days	Overdue
MSR Silo					
01438669	00000454163	Batmasian, Marta	Client 00000454164	Carlos Arrizurieta	
3/18/2016	Monitor ongoing lawsuits.	Andrew F Gallivan	105	Armen Brash, Andrew	
Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01471242	00000412545	Florescue, Barry W,	Client 00000412546	Carlos Arrizurieta	
3/31/2016	Borrowers' resolution to be obtained at closing	Armen Brash	92	Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01518437	00000526141	VR Kona Coast, LLC	Client 00000498398	Daniel Kay	3/22
/2016	Current owner of VR Kona Coast llc is EPC Exchange Corporation, a 3rd party	1031 accommodato			
r. It will NOT remain an owner when exchange is completed 3/22/16. Request temp		exception to accept			
this qualified intermediary as a kyc party until the exchange. Lee Hutter		101		Armen Brash,	
Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01532437	00000528995	Spencer Family GRAT A	Client 00000156618	Liz Payne	4/29
/2016	Andrew F Gallivan	63		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacob	
y	US-Onshore				
01534272	00000528995	Spencer Family GRAT A	Client 00000156618	Liz Payne	5/2/
2016	Executed GRAT	Armen Brash	60	Armen Brash, Andrew Galivan, Michael J. Davis, Micha	
el Jacoby	US-Onshore				
01553399	00000531258	Marsh Family Trust	Client 00000162650	Liz Payne	6/30
/2016	A standard 90 day exception was granted for the trust TIN# and fully executed document. Andr				
ew F Gallivan	1	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore		
01561572	00000499130	GTIS BRAZIL REAL ESTATE FUND III	Prospect	00000494504	
Terri Sohrab	5/4/2016	A 30 day temporary exception for receipt of appropriate signing auth			
ority as contemplated within the AML Policy is extended as our counsel will not allow the loan to cl		ose unless appropriate signing authority is received.	Armen Brash	58	Armen Brash, Andrew
Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01561771	00000514400	Blackstone Tactical Opportunities Fund II L.P.	Client 00000410142		
Joanne Jensen	4/4/2016	executed joinder	Armen Brash	88	Armen Brash, Andrew
Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01563655	00000495826	Carlyle Power Partners II-A, LP	Prospect	00000409003	Joan
ne Jensen	5/4/2016	TE granted for borrower's resolution to be obtained at closing. Arme			
n Brash 58	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore			
01564412	00000534974	Oaktree Real Estate Opportunities Fund VII GP, L.P.	Prospect		
00000419766	Cheryl Paller	5/20/2016			
g. lee hutter	42	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-O		
nshore					
01567768	00000535075	Dover Street VIII L.P.	Client 00000420636	Joanne Jensen	4/18
/2016	Temporary exception for signing authority to be obtained at closing			Armen Brash	74
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01572862	00000514948	Westbrook Real Estate Fund X, LP	Client 00000424752	Joan	
ne Jensen	6/10/2016	30 day Temporary Exception for a borrowers resolution which will be			
issued through this Joinder agreement as stipulated in our procedure manual.		Armen Brash	21		
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby		US-Onshore			
01333478	00000499130	GTIS BRAZIL REAL ESTATE FUND III	Prospect	00000494504	
Terri Sohrab	2/23/2016	Exception has been extended temporary exception extended Temporary E			
xception for Borrower's Resolution		Kimberly Hart	129	Armen Brash, Andrew Galivan, Michael	
J. Davis, Michael Jacoby		US-Onshore			

## US-Onshore\_ACUwMatChngs

Annual Client Update: ID	Customer Number	Customer Name	Primary Officer	Relationship	Meet
ing/Call Date	Material Changes	A15. Client Status	Update Description	Days	Overdue - 30
MSR	Bank	Silos	COMMENTS		
75412	00000026833	Burton, Katherine	Kim Hart	BURTON, KATE RELATIONSHIP	6/3/2016
Please see ACU comment There is no contact with this client. She is a "mutual fund only" client with no open Private Bank accounts. The mutual fund account is associated with a "dealer code" that associates it to the Private Bank. We are trying to get the account coded correctly or funds escheated. In the meantime, there has been no account activity. The client has \$77.19 invested in the ICT Treasury Portfolio. -2					
75413	00000179446	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Kim Hart	REIST, J&L RELATIONSHIP	6/3/2016
Update Required There is no contact with this client. He is a "mutual fund only" client with no open Private Bank accounts. The mutual fund account is associated with a "dealer code" that associates it to the Private Bank. We are trying to get the account coded correctly or funds escheated. In the meantime, there has been no account activity. The client has \$18.43 invested in the ICT Treasury Portfolio. -2					
75739	00000240701	McMahan, Linda Terrence Tangney		MCMAHAN, LINDA RELATIONSHIP	3/25/2016
address change. same state. Street Address 10 Golf Drive Apt 301 City Plymouth State MA Zip 02360 Cntry USA address change. client moved to a condo. same state. Street Address 10 Golf Drive Apt 301 City Plymouth State MA Zip 02360 Cntry USA 68					
75953	00000508784	Sullivan, Brian Frances	Carolyn Botzenhard	SULLIVAN, BRIAN RELATIONSHIP	6/17/2016
Update Required Brian Sullivan - 6/17 visited here ? Zach and Carolyn met with Brian to discuss current portfolio performance, additional investments into his balanced IA DPM strategy as well as Vista PE fund. Based upon our meeting, Brian has decided to invest \$ 500K into the Vista Fund Address changed, purchased new home. DB holds the mortgage. -16					
76043	00000449023	Napoli Bern, Ripka LLP	Joanne Jensen	BERN, MARC. J RELATIONSHIP	6/28/2016
Update Required The client has all their operating accounts with DB with an average balance of \$15MM currently. Paul Napoli and Marc Bern have split off to their respective lawfirms, Napoli Shkolnik LLP and Bern Ripka LLP, and plaintiffs' cases have been divided between the two firms. -27					
76127	00000449022	Napoli Bern & Associates, LLP	Joanne Jensen	BERN, MARC. J RELATIONSHIP	6/28/2016
Update Required The client has all their operating accounts with DB with an average balance of \$78 - \$80 MM in total. Bankers Joanne Jensen, Jennifer Shaw, Jessica Wilbur and team are in constant contact with the client. To our knowledge, they are satisfied with their relationship with DB thus far. Paul Napoli and Marc Bern are in the process of splitting off into two respective law firms. The firms will divide the plaintiffs' cases evenly and proceed on their own. -27					
76128	00000449024	Napoli Bern, Ripka & Associates, LLP	Joanne Jensen	BERN, MARC. J RELATIONSHIP	6/28/2016
Update Required The client has all their operating accounts with DB with an average balance of \$78 - \$80 MM in total. Bankers Joanne Jensen, Jennifer Shaw, Jessica Wilbur and team are in constant contact with the client. To our knowledge, they are satisfied with their relationship with DB thus far. Paul Napoli and Marc Bern are in the process of splitting off into their own respective law firms, Napoli Shkolnik LLP and Bern Ripka LLP. The plaintiffs' cases have been evenly divided by a court-appointed referee between the two firms. -27					
70924	00000478403	Cleveland Thermal Holdings, LLC	Joanne Jensen	EVANS, CHARLES RELATIONSHIP	10/26/2015
Update Required The company was sold for \$43MM to a Canadian energy company. The sale is still under way. Mr. Evans received \$43.89MM for the sale of Cleveland Thermal. 219					
73702	00000420458	Weisel, Thomas Ed Lok	WEISEL, THOMAS	RELATIONSHIP	2/26/2016
Update Required There are no material changes to report. Mr. Weisel's net worth has remained constant over the past few years. He is working to pay off debt and maintain liquidity. 8-12-13: There is negative media surrounding Lance Armstrong and Thomas Weisel's sponsorship company, Trail Wind. Investigation is ongoing with the civil suit. 96					
72422	00000483569	Benvenuti, Siena	Ed Lok	NANCY EMERSON DAVIS RELATIONSHIP	12/16/2015
Update Required Custodian Nancy Emerson Davis passed away 3-15-2015. Her estate is going through probate court with includes a petition for custodial change. 168					
72423	00000483568	Benvenuti, Rocco	Ed Lok	NANCY EMERSON DAVIS RELATIONSHIP	12/16/2015
Update Required Custodian Nancy Emerson Davis passed away 3-15-2015. Her estate is going through probate court with includes a petition for custodial change. 168					
72426	00000483570	Sedar, Anne	Ed Lok	NANCY EMERSON DAVIS RELATIONSHIP	12/16/2015
Update Required Custodian Nancy Emerson Davis passed away 3-15-2015. Her estate is going through probate court with includes a petition for custodial change. 168					
72427	00000483571	Sedar, John	Ed Lok	NANCY EMERSON DAVIS RELATIONSHIP	12/16/2015

This is a custodial account. Custodian Nancy Emerson Davis passed away 3-15-2015. Her estate is going through probate court with includes a petition for custodial change. 168 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco US-Onshore Requires udp  
ate: 01425113 is only for Riley Benvenuti

68984 00000210664 Moldaw, Stuart Russell Daulton MOLDAW RELATIONSHIP 7/3/2015 The only relationship we have with the client is the BT Private Equity fund. Compliance comment: 3/12/12 only investment is a private equity fund that is closed for investors. No instructions will be taken from persons associated with the account and is reflected on the KYC. Stuart Moldaw passed away in May 2008. DB lost contact with the client prior to his death and received no information to change the title of the account or to update signers. The client's family see no reason to make any account changes as Mrs. Moldaw deposits any fund distributions to a outside account where she has signing authority. 334 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco  
o US-Onshore Need Update or close the account

71114 00000447928 The Hu/Luo Family 2005 Trust Russell Daulton HU, GEORGE RELATIONSHIP 10/21/2015 George is looking into putting some of his new company into trust for his children and is still considering creating a DAF. George left salesforce.com last November and has now started his own company. It is based in San Francisco. 224 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco US-Onshore Need update

74595 00000131066 Hernstadt, Hayley Liz Payne HERNSTADT, WILLIAM H RELATIONSHIP 4/28/2016 Hayley Hernstadt is believed to have recently graduated from Med School and is now living in Australia. We are waiting to get her updated contact information. Hayley Hernstadt is believed to have recently graduated from Med School and is now living in Australia. We are waiting to get her updated contact information. 34 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby New York US-Onshore Need Update

72176 00000406850 Shlens, Robert D. Deirdre Judge SHLENS, ROB RELATIONSHIP 1/5/2016 Robert Shlens passed away in December 2014 Robert Shlens passed away in December 2014. The CPA confirmed via email 1/5/16 that probate was not finished, so there are still no documents to appoint a new owner for the accounts. 148 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby Los Angeles US-Onshore Need Update

72373 00000218177 Pacific Health Corporation Malcolm Kimble PACIFIC HEALTH RELATIONSHIP 1/13/2016 We are unable to contact the client as this company no longer exists. This company is no longer in existence. The funds in their accounts were used to pay down a loan of credit, and \$117.04 is left in the account. We do not know where to remit these funds. 140 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby New York US-Onshore Need Update

72476 00000446276 PTV Corp. Terrence Tangney SOUTH STREET ADVISORS RELATIONSHIP 11/30/2015 Per Katy Cheng: The Country of Incorporation for PTV is British Virgin Islands (certificate of good standing is in the repository) and the mailing address is in Cayman Island (where CTC Corp is incorporated-also in the repository). I checked the old w8 on file, it's completed the same way. I see the below as the owner address (permanent address) which is the same as what's on W8. Permanent address is: Fleming House Wickhams Cay, Road Town Tortola, BVI 184 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby New York US-Onshore Need Update

73082 00000474133 Aurora Trust Ed Lok ARORA, NIKESH RELATIONSHIP 9/9/2015 Client changed jobs and is now the Vice Chairman at Softbank Corp and CEO of Softbank Internet and Media Inc. 3-10-15 Client changed jobs and is now the Vice Chairman at Softbank Corp and CEO of Softbank Internet and Media Inc. 266 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco US-Onshore Need Update

75162 00000158024 HELENE D GILROY EST WALTER GRUENDL TR Sequana Beale GILROY, HELENE D RELATIONSHIP 5/19/2016 The income beneficiary of this trust, Walter Gruendl, died on May 4, 2016 and the Trust terminates in full. Pursuant to power of appointment exercised in Will of Walter Gruendl, trust assets distribute out to his domestic partner and beneficiary, Cassandra Bilodeau. Kindly perform PCR searches on Cassandra Bilodeau and attach the results to the client (Trust) on DBforce. We estimate that partial distributions may be made in the next three months and this Trust will be closed in approximately 6 months. The income beneficiary of this trust, Walter Gruendl, died on May 4, 2016 and the Trust terminates in full. Pursuant to power of appointment exercised in Will of Walter Gruendl, trust assets distribute out to his domestic partner and beneficiary, Cassandra Bilodeau. Kindly perform PCR searches on Cassandra Bilodeau and attach the results to the client (Trust) on DBforce. We estimate that partial distributions may be made in the next three months and this Trust will be closed in approximately 6 months. 13 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby Jacksonville US-Onshore Need update

75227 00000421852 Shorenstein Realty Services East LLC Lindsay Sanders SHORENSTEIN RELATIONSHIP 5/20/2016 The Managing Member of Shorenstein Management Inc passed away in November from cancer. He was not a signer on the account but we will confirm all signers in follow-up conversations. Shorenstein Properties continues to thrive and is about to raise their 11th fund. There has been some conversation about investing in multifamily properties as an annuity for future generations. The Managing Member of Shorenstein Management Inc (Doug Shorenstein) passed away in November from cancer. He was not a signer on the account but we will confirm all signers in follow-up conversations. 12 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco US-Onshore Need update

71155 00000478402 Charon Capital Management, LLC Joanne Jensen EVANS, CHARLES RELATIONSHIP 11/5/2015 Mr. Evans is now engaged in investing his assets from the sale of his company. As previously described, Mr. Evans sold one of his companies for \$44MM and has moved a significant portion of this wealth into his DB accounts. 209 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby New York US-Onshore Need KYC update

74959 00000506872 The Gregg S. Hymowitz Irrevocable Trust dtd 9/10/2007 Joanne Jensen HYMO

WITZ, GREGG RELATIONSHIP	5/5/2016	Mr. Hymowitz is a hedge fund and asset management professional. This account was set up for one of his trusts, but it currently holds no assets. Greg g Hymowitz recently sold his company, EnTrust Capital, to Legg Mason for \$400MM.	27	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	Need
KYC update							
75115	00000508573	ASL Media Holdings, LLC	George Zahringer	OREN, AHMET RELATIONSHIP			
2/19/2016	No changes.	N/A	103	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	Need more details.
75304	00000181607	Gevers, Françoise	Douglas Robertson	GEVERS, M&W RELATIONSHIP			
5/24/2016	I received an email from attorney, Glenn M. Troost, on behalf of Françoise Gevers. Françoise passed away. Currently, Glenn is working with the courts to establish a succession plan. We cannot take any action until a plan is in place.						8
I received an email from attorney, Glenn M. Troost, on behalf of Françoise Gevers. Françoise passed away. Currently, Glenn is working with the courts to establish a succession plan. We cannot take any action until a plan is in place.							
Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC	in Progress: #1607827			
73411	00000475602	Dauphin Fletcher, Aurelie	Mark Gonzalez	DAUPHIN, AURELIE RELATIONSHIP			
P	1/27/2016	Aurelie's income is mainly derived from periodic stipends through a trust established by her father. other source of income is from her investment accounts. Her father recently passed away and she's spending more time in Europe to be close to her family. Her father's estate has yet to be settled.					
126	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress #1485452			
66205	00000417820	H Mountain, Inc.	Mary Ann Coleman	STERN, ED RELATIONSHIP	1/14		
/2015	No material changes	Change in ultimate beneficial ownership structure. A KYC update will be submitted.					
504	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - 01400097			
66208	00000251764	Alerion Strategies Holdings Ltd	Mary Ann Coleman	STERN, ED RELATIONSHIP			
IP	1/14/2015	No material change to report. Minimal assets remaining. Change in ultimate beneficial ownership structure. A KYC update will be submitted.					
504	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - 01400097			
66207	00000420241	Hartz Capital Investments, Ltd.	Mary Ann Coleman	STERN, ED RELATIONSHIP			
IP	1/14/2015	No material changes Change to ultimate beneficial ownership structure. A KYC update will be submitted.					
504	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - 01342457			
66209	00000410125	Hartz Capital, Inc.	Mary Ann Coleman	STERN, ED RELATIONSHIP	1/14		
/2015	No material changes to report.	Change to ultimate beneficial ownership structure. A KYC update will be submitted.					
504	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - 01342457			
56429	00000434210	Deniz Yatirim Menkul Kiyemetler A.S	Mary Ann Coleman	DEXIA GROUP RELATIONSHIP	5/30/2013		
There are not any material changes at Deniz Yatirim Menkul Kiyemetler A.S. but their parent company DenizBank has been taken over by Russian Sberbank. Deniz Yatirim is 100% owned by DenizBank. See above under A15.							
1098	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - 01304804			
70030	00000160604	Freda L Hartfield Trust	Marcy Morgan	HARTFIELD, FREDA L RELATIONSHIP	9/2/		
2015	None This trust is terminating due to death of beneficiary Freda Hartfield on 08/29/2015- Payable outright to Peter Burling-20 Lang Road, Cornish, NH 03745 (Please run PCR search)						
273	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC	in Progress - #01342457		
66864	00000406850	Shlens, Robert D.	Deirdre Judge	SHLENS, ROB RELATIONSHIP	1/12		
/2015	Robert Shlens passed away in December 2014 Robert Shlens passed away in December 2014						
506	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Los Angeles	US-Onshore	1303444 is not to resolve ACU 66864.			
72328	00000420241	Hartz Capital Investments, Ltd.	Mary Ann Coleman	STERN, ED RELATIONSHIP			
IP	1/5/2016	No material changes We will be removing one signatory. KYC update to follow					
148	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - #01342457			
72330	00000410125	Hartz Capital, Inc.	Mary Ann Coleman	STERN, ED RELATIONSHIP	1/5/		
2016	No material changes to report We will be removing one signatory. KYC update to follow						
148	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC	in Progress - #01342457		
68983	00000407688	Newell, Lee	Russell Daulton	NEWELL, LEE RELATIONSHIP	7/3/2015		
No other changes Client has a mortgage, private equity and a small bank account which has \$830. He reaches out to us when he needs to update something but is otherwise non-responsive.							
334	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	San Francisco	US-Onshore	Account is still active, please request for the account to be closed			
72077	00000249003	Gernert, Lynn	Terrence Tangney	WEILER/ARNOW RELATIONSHIP	12/1		
5/2015	Lynn Gernert and Susan Weiler have a joint account 254098 which at their mutual request are splitting into 2 individual accounts. Lynn Gernert and Susan Weiler have a joint account 254098 which at their mutual request are splitting into 2 individual accounts.						
169	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - #01515565			
72087	00000249003	Gernert, Lynn	Terrence Tangney	WEILER/ARNOW RELATIONSHIP	12/1		
5/2015	Lynn's new address is: 222 Park Avenue South Apt 11C New York, NY 10003 Lynn Gernert and Susan Weiler have a joint account 254098 which at their mutual request are splitting into 2 individual accounts.						
169	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	US-Onshore	KYC in Progress - #01515565			
73376	00000416180	Alan C. Fox Revocable Trust	Deirdre Judge	FOX, ALAN RELATIONSHIP	3/4/		
2016	no material changes Alan is divorcing Dave Fox and in a relationship with Asha Dusbabek.						
89	Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	Los Angeles	US-Onshore				

nshore AML to Close - No Material changes - Divorce doesn't impact the client's wealth.  
 75369 00000454634 Madeleine Hilton McGraw Revocable Trust Michael Mullin MCGRAW, D&A RELATIONSHIP  
 SHIP 5/27/2016 Maddie currently makes \$13 an hour. She has just over 500k with us and is considering taking a small monthly distribution to help with her living expenses, probably between \$1,000 and \$1,500 a month. She is also currently in the process of moving to a new apartment. No material changes at the moment. 5 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby  
 y New York US-Onshore No material changes  
 72588 00000485595 Anchorage Partners, LP Brian Convey MARRIOTT, JOHN W RELATIONSHIP 9/30  
 /2015 Address change Address change 245 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby  
 el Jacoby New York US-Onshore AML to Close - No Material Change / Change of address

ADDRESS CHANGE FROM:  
 6106 MacArthur Blvd - Suite 110, Bethesda, MD  
 20816 USA  
 TO:  
 9737 Washingtonian Boulevard - Suite 404  
 Gaithersburg, MD 20878

No KYC Update is required.  
 72230 00000497530 Bridgeton Holdings, LLC Susan Burnett BRIDGETON HOLDINGS, LLC RELATIONSHIP  
 12/1/2015 No significant changes in assets or income since the original KYC one year ago. n/a  
 183 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby Los Angeles US-Onshore  
 PEP Question responded by mistake, client is not a PEP. No material changes  
 75958 00000492719 Trump Old Post Office LLC Rosemary Vrablic TRUMP, DONALD J. REL  
 ATIONSHIP 6/21/2016 Currently the building is still in construction phase. The significant owner Donald Trump announced last year that he would be running for President of the US. It was addressed in the current KYC -20 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby  
 y New York US-Onshore This has been documented in approved KYC #01419355  
 72242 00000448499 Brown & Zhou LLC Mary Ann Coleman SLAV, ZIKI RELATIONSHIP 1/6/  
 2016 The LLC's ownership structure has changed. change in ownership structure of the LLC a KYC update will be processed 147 Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby  
 y New York US-Onshore Update has been documented, KYC Approved #01541611  
 75016 00000486423 Jeepers, Inc Stewart Oldfield SOUTHERN FINANCIAL RELATIONSHIP 3/2/  
 2016 client estate advisory services, investments na 91 Armen Brash, Andrew Galivan,  
 Michael J. Davis, Michael Jacoby New York US-Onshore This question was answered by mistake - "Has a party been subject to a criminal or regulatory investigation or negative media?"  
 --- another ACU was created (ACU #0075019), this one should be closed.

acct opening

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						
01429361	ASEAN China Investment Fund III L.P.	Anna-Sofiya Lupolover	7/16/2015			Bank
ing int plan #129. Please open a money market account for ASEAN China Investment Fund III L.P. They already have an account in the name of this entity, acct 42958006. Thank you. KYC: 01303850 and 01345876 NAO: 9970455 Online - Yes 913575 existing Please email anna-sofiya.lupolover@db.com when the account is opened. Thank you. 8/4/2015						
		MNGMNT Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	two week temporary exception for valid tax forms.		N
239						
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 anna-sofiya.lupolover@db.com with the account # once the account is opened. Thank you.	9/8/2015
		MNGMNT Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	2 week excep		
	tion for LLC resolution N	214				
01493815	SSW 2007 LLC	Jj Litchford	12/1/2015	Branch - 800 Expense Code - 901013 N		
ew CD account KYC: 01279790 NAO: 10548015 jj.litchford@db.com 212 454 2879 12/16/2015 PB S						
-NY		Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	Two weeks te		
mporary exception granted by Vaishali to get a revised and recent LLC resolution. N 143						
01494377	KWF 2007 LLC	Jj Litchford	12/2/2015	CD	ABR - Please approve. 800 Ex	
p code 901013 New CD account 12 month 0.95% KYC: 01280284 jj.litchford@db.com 212 454 2879 12/1						
8/2015		PB S-NY Armen Brash, Andrew Galivan, Michael J. Davis, Michael Jacoby	US-Onshore	Two		
weeks temporary exception granted by Vaishali to get a revised and recent LLC resolution. N						
141						