

Kimble

Customer Number	Customer Name	Type	* High Risk	* Moderate Risk	Annual Client Update	Due Date
Auto Exempt Reason	Exemption Reason	Exemption Reason	Customer	Owner		
	Golub, David	Client	N	N	5/7/2017	Malcolm Kimble
	Toll, Robert I.	Client	N	N	5/10/2017	Malcolm Kimble
	Adamski, Dorothea S	Client	N	N	5/11/2017	Malcolm Kimble
	Adamski, Paulina J.	Client	N	N	5/11/2017	Malcolm Kimble
	Adamski, Claudia C.	Client	N	N	5/11/2017	Malcolm Kimble
	Adamski, Theresa M	Client	N	N	5/11/2017	Malcolm Kimble
	Adamski, Susanne	Client	N	N	5/11/2017	Malcolm Kimble
	The Estate of Gerald Houghton	Client	N	N	5/11/2017	Malcolm Kimb
	The Aileen P. Houghton Revocable Trust	Client	N	N	5/17/2017	Malc
	Valiotis, Stamatiki	Client	N	Y	5/17/2017	Malcolm Kimble
	Houghton, Aileen P	Client	N	N	5/17/2017	Malcolm Kimble
	Tunney, John V.	Client	N	N	5/19/2017	Malcolm Kimble
	Davidson Equities LLC	Client	Y	N	5/24/2017	Malcolm Kimble
	THE TOW FOUNDATION INC	Client	N	N	6/1/2017	Malcolm Kimble
	Eckman, William P.	Client	N	N	6/3/2017	Malcolm Kimble
	Washington Avenue Ventures Inc.	Client	N	Y	6/8/2017	Malcolm Kimb
	Northeastern Industrial Park Inc.	Client	N	Y	6/8/2017	Malc
	Rotterdam Ventures	Client	N	Y	6/8/2017	Malcolm Kimble
	Valiotis, Sophia	Client	N	Y	6/13/2017	Malcolm Kimble
	Femmes-Invest LLC	Client	N	N	6/13/2017	Malcolm Kimble
	Adamski, Christoph	Client	N	N	6/13/2017	Malcolm Kimble
	Tunney, Jonathan R.	Client	N	Y	6/13/2017	Malcolm Kimble
	Russell and Willene Dobson Foundation	Client	N	N	6/17/2017	Malc
	Dobson Performance Fund, LLC	Client	N	Y	6/17/2017	Malcolm Kimb
	Dobson Family Foundation	Client	N	Y	6/17/2017	Malcolm Kimb
	Dobson CC Limited Partnership	Client	N	Y	6/17/2017	Malcolm Kimb
	Mary Power Logan Serenity Trust	Client	N	Y	7/28/2017	Malcolm Kimb
	Net Income Only Charitable Remainder Unitrust for the Benefit of Mary Power Logan					
Y	7/28/2017					Malcolm Kimble
	Camphill Village Copake Foundation, Inc.	Client	N	Y	7/28/2017	
	Fertitta, Tilman	Client	Y	N	7/29/2017	Malcolm Kimble
	GNLC Holdings, Inc.	Client	Y	N	8/2/2017	Malcolm Kimble
	Ritman, Sidney H.	Client	N	N	8/5/2017	Malcolm Kimble
	Joy, Robert	Client	N	N	8/19/2017	Malcolm Kimble
	Thaler, Richard	Client	N	N	9/12/2017	Malcolm Kimble
	Golub Capital Partners 9	Client	N	Y	9/27/2017	Malcolm Kimb
	Oliver, Alex R.	Client	N	N	10/6/2017	Malcolm Kimble
	Lemaster, Nancy	Client	N	N	10/7/2017	Malcolm Kimble
	LEG Partners Debenture SBIC L.P.	Client	N	Y	10/11/2017	Malc
	LEG Partners III SBIC L.P.	Client	N	Y	10/11/2017	Malcolm Kimb
	Golub Capital Partners 10, L.P.	Client	N	Y	10/11/2017	Malcolm Kimb
	Cityview Plaza LLC	Client	Y	N	11/7/2017	Malcolm Kimble
	Axia Realty, LLC	Client	Y	N	11/21/2017	Malcolm Kimble
	Tow, Leonard	Client	N	N	11/28/2017	Malcolm Kimble
	Valiotis, Efsthathios	Client	N	Y	12/1/2017	Malcolm Kimble
	Golub, Lawrence E.	Client	N	Y	12/6/2017	Malcolm Kimble
	STEWART BAINUM JR. REVOCABLE TRUST	Client	Y	N	12/9/2017	Malc
	Bridge Equities VI, LLC	Client	Y	N	12/9/2017	Malcolm Kimble
	Sunbridge Holdings, LLC	Client	Y	N	12/9/2017	Malcolm Kimble
	Czujko, Andrew	Client	N	Y	12/14/2017	Malcolm Kimble
	Estate Of Edward T. Cone	Client	N	N	12/20/2017	Malcolm Kimb
	Rotonda, Gerard (Jerry)	Client	N	N	12/29/2017	Malcolm Kimble
	Fertitta Entertainment, Inc.	Client	N	Y	12/30/2017	Malcolm Kimb
	ETC Charitable Lead Annuity Trust #2	Client	N	N	1/4/2018	Malc
	Etc Charitable Lead Unitrust	Client	N	N	1/4/2018	Malcolm Kimb
	Minskoff, Edward J.	Client	N	Y	1/25/2018	Malcolm Kimble

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EFTA01398969