

Customer Number	Customer Name	Type	* High Risk	* Moderate Risk	Annual Client Update	Due Date	
e	Auto Exempt Reason	Exemption Reason	Exemption Reason	Customer Owner			
	John Lelend Mothershead Vi Trust		Client N	Client N	N	4/28/2017	Mich
	Edward C French Jr Trust		Client N	Client N	N	5/2/2017	Michael Mull
	Nicholas Panasevich Trust		Client N	Client N	N	5/3/2017	Michael Mull
	Eleanor J. Panasevich Trust		Client N	Client N	N	5/3/2017	Michael Mull
hael Mullin	JOHN G LARUSSA 2014 IRRV TR FBO LEAH BROOKS LARUSSA		Client N	Client N	N	Y	5/27
hael Mullin	JOHN G LARUSSA 2014 IRRV TR FBO JOHN TAYLOR LARUSSA		Client N	Client N	N	Y	5/27
hael Mullin	JOHN G LARUSSA 2014 IRRV TR FBO ANNE PEARCE LARUSSA		Client N	Client N	N	Y	5/27
	LaRussa 2014 Trust No 3		Client N	Client Y	N	5/27/2017	Michael Mullin
	LaRussa, John Taylor		Client N	Client Y	N	5/27/2017	Michael Mullin
	LaRussa, Anne Pearce		Client N	Client Y	N	5/27/2017	Michael Mullin
7/2017	Benny & Anne Larussa Grandchildrens TR No 3 FBO Leah Brooks Larussa		Client N	Client N	N		
	Michael Mullin						
7/2017	Benny & Anne Larussa Grandchildrens TR No 3 FBO John Taylor Larussa		Client N	Client N	N		
	Michael Mullin						
7/2017	Benny & Anne Larussa Grandchildrens TR No 3 FBO Anne Pearce Larussa		Client N	Client N	N		
	Michael Mullin						
	LaRussa, Joseph Bruno		Client N	Client Y	N	5/27/2017	Michael Mullin
lin	LaRussa Daughters GST Trust FBO Anna LaRussa		Client N	Client N	N	Y	5/27/2017
lin	LaRussa Daughters GST Trust FBO Barrett LaRussa		Client N	Client N	N	Y	5/27/2017
lin	LaRussa Daughters GST Trust FBO Olivia LaRussa		Client N	Client N	N	Y	5/27/2017
hael Mullin	LaRussa Grandchildrens Trust No. 2 FBO Anna LaRussa		Client N	Client N	N	Y	5/27
hael Mullin	LaRussa Grandchildrens Trust No. 2 FBO Barrett LaRussa		Client N	Client N	N	Y	5/27
	LaRussa 2014 Trust No. 2		Client N	Client Y	N	5/27/2017	Michael Mull
	Madeleine Hilton McGraw Revocable Trust		Client N	Client N	N	5/27/2017	Mich
	LaRussa, Leah Brooks		Client N	Client Y	N	6/2/2017	Michael Mullin
	LARUSSA, MARY CARSON		Client N	Client Y	N	6/2/2017	Michael Mullin
	LARUSSA, JOHN GREGORY		Client N	Client Y	N	6/2/2017	Michael Mullin
	McGraw IV, Donald		Client N	Client N	N	6/8/2017	Michael Mullin
B/2017	Donald C McGraw Jr Residuary Tr u/a/d 5/14/96 fbo David W McGraw		Client N	Client N	N		
	Michael Mullin						
B/2017	DONALD C MCGRAW FOUNDATION INC		Client N	Client N	N	6/13/2017	Michael Mull
B/2017	Donald C McGraw Jr Residuary Tr u/a/d 5/14/96 fbo Sean Michael McGraw		Client N	Client N	N		
	Michael Mullin						
	The Jockey Club		Client N	Client Y	N	6/13/2017	Michael Mullin
	Trust Estate u/w/o Mary Alice Victoria Chubb Wolsfelt, Gerald Wolsfelt, Trustee Clie		N	N	N		
	N 6/27/2017 Michael Mullin						
	Mundkur, Christine A		Client N	Client Y	N	7/5/2017	Michael Mullin
	TJC Holdings, Inc		Client N	Client Y	N	7/6/2017	Michael Mullin
	Wolsfelt, G. Russell		Client N	Client N	N	7/14/2017	Michael Mullin
	Wolsfelt, Peter Van Fleet		Client N	Client N	N	8/1/2017	Michael Mull
	French, Amanda F.		Client N	Client N	N	8/18/2017	Michael Mullin
	Mundkur, Ajay		Client N	Client Y	N	8/22/2017	Michael Mullin
	McGraw III, Donald C.		Client N	Client N	N	9/2/2017	Michael Mullin
	Wolsfelt, Gerald		Client N	Client N	N	9/6/2017	Michael Mullin
	Ashley Bjorklund		Client N	Client N	N	9/8/2017	Michael Mullin
	French Jr, Edward C		Client N	Client N	N	9/8/2017	Michael Mullin
lin	VICTORIA C WOLSFELT LIFE INSURANCE TRUST		Client N	Client N	N	N	9/9/2017
	Bjorklund, Ann M		Client N	Client N	N	9/14/2017	Michael Mullin
	Mothershead, VI, John L.		Client N	Client N	N	9/14/2017	Michael Mull
	McGraw, Anne Schuyler		Client N	Client N	N	9/14/2017	Michael Mullin
	INCOMPASS SOLUTIONS, INC.		Client N	Client N	N	9/15/2017	Michael Mull
	Elizabeth Anne McGraw Revocable Trust		Client N	Client N	N	9/23/2017	Mich
	Erin Fincher Mcgraw Irrev Trust		Client N	Client N	N	9/23/2017	Michael Mull
	Donald C. McGraw IV Revocable Trust Of 2004		Client N	Client N	N	9/26/2017	

Michael Mullin

	Donald C McGraw Jr Residuary Tr	u/a/d 5/14/96 fbo Ian Christopher McGraw							Clie
	N 9/26/2017	Michael Mullin							
	Donald C McGraw Jr Residuary Tr	u/a/d 5/14/96 fbo Taylor Williams McGraw							Clie
	N 9/26/2017	Michael Mullin							
/2017	Donald C McGraw Jr Residuary Tr	u/a/d 5/14/96 fbo Robert W McGraw	Client	N					N
	Michael Mullin								
/2017	Donald C McGraw Jr Residuary Tr	u/a/d 5/14/96 fbo Donald C McGraw III	Client	N					N
	Michael Mullin								
	AXCIS INFORMATION NETWORK, INC.		Client	N	Y	9/29/2017		Michael Mull	
	Douglas C French Tr		Client	N	N	9/29/2017		Michael Mullin	
	French, Douglas C.		Client	N	N	9/29/2017		Michael Mullin	
	Equibase Company		Client	N	Y	9/29/2017		Michael Mullin	
	LYNDA CLARK ROWLAND NY TRUST DIAA		Client	N	N	10/4/2017		Michael Mull	Mich
	Jilline A Fearons Revocable Trust		Client	N	N	10/5/2017		Michael Mull	Mich
	George T Fearons Revocable Trust		Client	N	N	10/5/2017		Michael Mull	Mich
	Fearons, George T		Client	N	N	10/7/2017		Michael Mullin	
	The Anne Schuyler McGraw Accumulation Trust		Client	N	N	10/13/2017		Michael Mullin	
in	Fendall, LLC		Client	N	Y	10/18/2017		Michael Mullin	
	Amanda French Trust		Client	N	N	10/21/2017		Michael Mullin	
	McGraw, David W		Client	N	N	11/3/2017		Michael Mullin	
	Procel, Llc		Client	N	N	11/9/2017		Michael Mullin	
	The Jockey Club PAC		Client	Y	N	11/10/2017		Michael Mullin	
in	Coalition for Horse Racing Integrity, Inc.		Client	N	Y	11/24/2017		Michael Mull	
	The Jockey Club Foundation		Client	N	Y	11/24/2017		Michael Mull	
	CM Strategic Advisors LLC		Client	N	Y	11/29/2017		Michael Mull	
	McGraw, M. Lee		Client	N	N	11/30/2017		Michael Mullin	
	Weggie's Holdings LLC		Client	N	N	11/30/2017		Michael Mullin	
	Panasevich, Eleanor J.		Client	N	N	11/30/2017		Michael Mullin	
	Peters, Gerald		Client	N	Y	12/1/2017		Michael Mullin	
	McGraw, Elizabeth Devin		Client	N	N	12/6/2017		Michael Mullin	
	Holden Walker 4A, LLC		Client	N	N	12/6/2017		Michael Mullin	
	Lipton, Tara		Client	N	N	12/6/2017		Michael Mullin	
	Lipton, Hunter		Client	N	N	12/6/2017		Michael Mullin	
	Amory, Caroline C.		Client	N	N	12/8/2017		Michael Mullin	
	The Hunter E. Lipton Irrevocable Insurance Trust Dated 4/14/16		Client	N	N			Michael Mullin	N
	Michael Mullin								
	TJC Media Ventures, Inc.		Client	N	N	1/3/2018		Michael Mull	
	Blood-Horse LLC		Client	N	Y	1/3/2018		Michael Mullin	
	Van Fleet Worldwide LLC		Client	N	N	1/4/2018		Michael Mullin	
	French, James R.		Client	N	N	1/6/2018		Michael Mullin	
	PETER BJORKLUND JR. 1999 TRUST		Client	N	N	1/11/2018		Michael Mull	
	Mothershead III, J. Leland		Client	N	Y	1/11/2018		Michael Mull	
	Amory, Doris M		Client	N	N	1/12/2018		Michael Mullin	
	Doris M. Amory Living Trust		Client	N	N	1/12/2018		Michael Mull	
	Volpe, Noel		Client	N	N	1/19/2018		Michael Mullin	
	VOLPE, MANDY JANE		Client	N	N	1/25/2018		Michael Mullin	
	LaRussa, Cornelia		Client	N	Y	2/3/2018		Michael Mullin	
	Olivia Childs LaRussa Trust		Client	N	Y	2/3/2018		Michael Mull	
	Barrett LaRussa Trust		Client	N	Y	2/3/2018		Michael Mullin	
2018	Declaration of Trust by Joseph Bruno LaRussa for Anna Strong LaRussa		Client	N	N			Michael Mullin	
	Michael Mullin								
	Joe and Cornelia LaRussa LLC		Client	N	Y	2/3/2018		Michael Mull	
ael	LaRussa Grandchildrens Trust No. 2 FBO Olivia LaRussa		Client	N	Y	2/3/2018		Michael Mull	
	Michael Mullin								
	Elizabeth B. McGraw Foundation		Client	N	N	2/3/2018		Michael Mull	
	Seamus L.W. McGraw Revocable Trust		Client	N	N	2/3/2018		Michael Mull	Mich

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