

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	MSR
Bank	Silos	COMMENTS	PB Comments		
61372	415387	Edward Torres Management Trust f/b/o Lara Torres	Terrence Tangney	TORRES, E RELATIONSHIP	
	3/11/2014	none	DBTCNA has been removed as trustee by the trust protector and replaced by Wells Fargo.	355	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
		COVERAGE-Domestic	Need Update - There is remaining balance. ACU Can't be closed		
		remaining balance (\$263.16) to be transferred out by Trust Officer Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG RELATIONSHIP	7/17/2013
		On July 17, 2013, Mike McCarthy and Janet Sible spoke with Wendy to review the outstanding documents needed to create an estate account. Craig Haesemeyer is deceased. New account in the name of The Estate of Craig Haesemeyer needs to be created as soon as necessary documents are provided.			
592		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	
		Need Update - Status still Active and no instructions located in the case. ACU Can't be closed			
		Private equity accounts only			
		Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG RELATIONSHIP	10/7/2013
		Client held two private equity funds which are reflected in the client's DB Alex Brown account. Craig Haesemeyer has passed away. Estate account [REDACTED] has been established and assets have been transferred to the new account,	510	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York	
		COVERAGE-Domestic	Need Update - Status still Active and no instructions located in the case. ACU Can't be closed		
		Private equity accounts only			
		Haesemeyer, Craig	Michael E. McCarthy	HAESEMEYER, CRAIG RELATIONSHIP	11/2/2012
		Marci & Brett met with Craig's widow, Wendy Haesemeyer, to see if we could be of assistance and she was not ready to move forward with a trust and she was still pretty shell-shocked about the unexpected death of her husband. Mike McCarthy had an appointment to meet with Wendy in March and flew to Los Angeles before heading to another meeting in San Francisco. Mrs Haesemeyer cancelled their appointment when he reached the airport in LA. Craig Haesemeyer has passed away.	849	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York	
		COVERAGE-Domestic	Need Update - Status still Active and no instructions located in the case. ACU Can't be closed		
		Private equity accounts only			
		L K Williams Est Aw	Judith Webster	WILLIAMS, LOIS K RELATIONSHIP	10/29/2013
		Client is deceased	Income beneficiary died 10/18/13 and trust is terminating	488	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco
		COVERAGE-Domestic	Need Update - Status still Active and no instructions located in the case. ACU Can't be closed		
		Account is terminating but acct needs to remain open for 2014 tax purposes			
		DVG 1740 Fund LP	Mary Ann Coleman	DECCAN RELATIONSHIP	12/4/2014
		See above. The fund administrator is changing as of January 1. No other changes aside from dropping one authorized signatory and adding one for all funds. All Deccan KYCs will be updated to reflect this change in authorized signers.	One authorized signer has been dropped and one new signer is being added to all Deccan hedge funds. The KYCs will be updated.	87	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
		COVERAGE-Domestic	Need Update		KYC
		Note has been sent to AMLKYC for case to be removed from list			
		Deccan Value Investors BPI Fund LP	Mary Ann Coleman	DECCAN RELATIONSHIP	12/3/2014
		No changes to the investment guidelines and income is generated through the management fees. Aside from removing one authorized signatory and adding one for all of the Deccan funds, there are no material changes to make note of. We are in the process of updating the list of authorized signatories for all of the Deccan funds. One name has been removed and one name is being added.			
88		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	
		Need Update	Natalie Barak is looking this		
		Nina Fund LP	Mary Ann Coleman	HARKIN RELATIONSHIP	1/16/2015
		Office address changed to 475 Park Avenue South NY NY 10016 A KYC update will be performed	44	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York	
		COVERAGE-Domestic	Need Update		
		Waiting for client to re-send documents with missing signature			
		DVI Fund (Mauritius) Ltd.	Mary Ann Coleman	DECCAN RELATIONSHIP	11/25/2014
		No material changes	Remove signatory George Ho and add Signatory Josh Duhl	96	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
		COVERAGE-Domestic	Need Update		
		Waiting for documents from client			
		Deccan Value Investors LP	Mary Ann Coleman	DECCAN RELATIONSHIP	1/8/2015
		Investable assets are reflected in the custody account held here at DB. No material changes to report.	George Ho is no longer a limited partner. New limited partners have been added and a KYC update is in process.	52	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
		COVERAGE-Domestic	Need Update		
		Waiting for documents from client			
		CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONSHIP	7/2/2013
		Rowland died on 5/15/12.	Carolyn Rowland died on 5/15/12. Trust is terminating		
607		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	
		Need Update	Gina Manzino to update		
		CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONSHIP	5/15/2012
		Client died on 5/15/12. Account is terminating. Client died on 5/15/12. Account is terminating.	1020	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York	
		COVERAGE-Domestic	Need Update		
		Gina Manzino to update			
		CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONSHIP	6/27/2014
		Rowland died on 5/15/12.	Carolyn Rowland died on 5/15/12. Trust is terminating		
247		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic	
		Need Update	Gina Manzino to update		
		CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONSHIP	5/15/2012
		Rowland died on 5/15/2012. Trust is terminating.	Carolyn Rowland died on 5/15/2012. Trust is terminating.	1020	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
		COVERAGE-Domestic	Need Update		
		Gina Manzino to update			

██████████	██████████	AGMA Relief Fund	Joanne Jensen	CORNELIUS BLISS FAMILY RELATIONSHIP	10/2
/2013	Client has terminated relationship with bank. Account sits in all cash. Client has terminate d relationship with bank. Account sits in all cash.	515	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic
	submitted		Need Update		Updated KYC has been submitted
██████████	██████████	AGMA Relief Fund	Joanne Jensen	CORNELIUS BLISS FAMILY RELATIONSHIP	9/3/
2014	Client has terminated relationship with bank. Account sits in all cash. Client has terminate d relationship with bank. Account sits in all cash.	179	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic
	submitted		Need Update		Updated KYC has been submitted
██████████	██████████	William H Moore Unitrust	Salvatore E. Moore	MOORE, ADA RELATIONSHIP	5/7/
2009	William H. Moore is deceased. 11/3/11 - If funds are being distributed to a charity, please provide the name of charity. 10/4/11 - Compliance Comment - Distribution instructions and list of beneficiaries still required 9/4/11 - Distribution instructions and list of beneficiaries still required If the beneficiaries are not currently listed on any KYC, a KYC will have to be submitted with the e beneficiaries listed. In addition, please have front office run PCR searches on these beneficiarie s. 8/1/11 - Compliance comments -: Distribution instructions and list of beneficiaries still required 7/6/11 - Compliance comments -: Distribution instructions and list of beneficiaries still required 6/13/11 - Compliance comment - Compliance comments: Distribution instructions and list of beneficia ries still required. William H. Moore passed away on 5/6/09. The remaining assets of this Trust a re to be distributed to a charity of the Trustees choice, which is to be determined. 7/31/2009 AML C ompliance Comment: Once you know the names of the charities, please notify AML Compliance so we can complete the PCR for trust distribution. 3/5/2010 - KYC Update Case: 528385 is in progress since 8/2 7/09 - very little completed 4/6/10 - Distribution instructions and list of beneficiaries still requ ired. 5/5/2010 - Distribution instructions and list of beneficiaries still required. 6/8/2010 - Dist ribution instructions and list of beneficiaries still required. 7/7/2010 - Distribution instructions and list of beneficiaries still required. 8/10/2010 - Distribution instructions and list of benefic iaries still required. 9/2/10 - Distribution instructions and list of beneficiaries still required. 10/1/10 - Distribution instructions and list of beneficiaries still required. 11/2/10 - Distribution instructions and list of beneficiaries still required. 12/2/10 - Distribution instructions and list of beneficiaries still required. 1/14/2011 - Distribution instructions and list of beneficiaries still required. 2/14/2011 - Distribution instructions and list of beneficiaries still required. 3/18/2 011 - Distribution instructions and list of beneficiaries still required. 4/14//2011 - Distribution instructions and list of beneficiaries still required. 5/9/11 - Compliance comments: Distribution in structions and list of beneficiaries still required.	2124	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic
	id will look in the repository to make necessary changes		KYC in Progress: #528385		Brig
██████████	██████████	Cohen, Abraham E.	Terrence Tangney	COHEN, ABRAHAM E RELATIONSHIP	12/5
/2013	Mr. Cohen passed away 11/24/2012. Conversations on closing the account have been with Mrs. C ohen executor and beneficiary Mr. Cohen passed away 11/24/2012. Conversations on closing the accou nt have been with Mrs. Cohen executor and beneficiary	451	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic
	ing for proof that wife is beneficiary of IRA rollover in order to transfer the balance		KYC in Progress: #01027930		Wait
██████████	██████████	Merrien Family Limited Partnership	Carlos Arrizurieta	MERRIEN FAMILY RELAT IONSHIP	5/18/2012
	no changes	Ownership changes and distribution: -Francoise became a Gene ral Partner -Francoise: 51% -Jeaninne: 29% -Zachary: 20%	1017	Kim Hart, Andrew Galivan, Mi chael J. Davis, Michael Jacoby	New York
	KYC wants formation documents for KYC; client is on a around-the-world cruise but ██████████ will resubm it once client is back (expected end of April)		KYC in Progress - #1303444		
██████████	██████████	Merrien Family Limited Partnership	Carlos Arrizurieta	MERRIEN FAMILY RELAT IONSHIP	1/11/2013
	no changes	Ownership changes and distribution: -Francoise became a Gene ral Partner -Francoise: 51% -Jeaninne: 29% -Zachary: 20%	779	Kim Hart, Andrew Galivan, Mi chael J. Davis, Michael Jacoby	New York
	KYC wants formation documents for KYC; client is on a around-the-world cruise but ██████████ will resubm it once client is back (expected end of April)		KYC in Progress - #1303444		
██████████	██████████	Templeton World Charity Foundation, Inc.	Mary Ann Coleman	TEMPLETON, J OHN RELATIONSHIP	1/9/2015
	portfolios held by the Templeton organization. The Foundation maintains a small custody account at D B. The entity changed it's name from Templeton World Charity Foundation to Templeton World Char ity Foundation, Inc. A KYC update will be completed promptly.	51	Kim Hart, Andrew Galivan, Mi chael J. Davis, Michael Jacoby	New York	COVERAGE-Domestic
	this was approved on 2/24		KYC in Progress - #01350388		
██████████	██████████	Hartz Capital Investments, Ltd.	Mary Ann Coleman	STERN, ED RELATIONSHIP	1/14/
/2015	No material changes	Change to ultimate beneficial ownership structure. A KYC update will be submitted.	46	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERAGEDomestic	KYC in Progress - #01342457	this was approved on 3/19		
██████████	██████████	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 subm itted	46	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	RAGEDomestic	KYC in Progress - #01342457	this was approved on 3/19		COVE
██████████	██████████	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.	46	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERAGEDomestic	KYC in Progress - #01342457	this was approved on 3/19		
██████████	██████████	Alerion Strategies Holdings Ltd	Mary Ann Coleman	STERN, ED RELATIONSHIP	1/14/
/2015	No material change to report. Minimal assets remaining. Change in ultimate beneficial owners hip structure. A KYC update will be submitted.	46	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVERAGEDomestic
	roved on 3/19		KYC in Progress - #01342457		this was app

██████████ ██████████ Deniz Yatirim Menkul Kiyemetler A.S Mary Ann Coleman DEXIA GROUP RELATIONSHIP
 SHIP 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. 640 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic KYC in Progress - #01304804 Business decision was made to exit relationship after organizational chart included Russian bank; account should be closing soon

██████████ ██████████ Worby, Groner, Edelman & Napoli Bern LLP Joanne Jensen BERN, MARC. J RELATIONSHIP
 ONSHIP 10/30/2014 Currently the entity holds approximately \$17MM which is subject to change based on distributions. Banker Joanne Jensen and her team are in constant contact with the client and to our knowledge they are satisfied with their relationship with DB. In 2011 it was brought to our attention that Napoli & Bern is representing multiple clients in a suit against DB and numerous parties (other than DB) with regards to the World Trade Center. To our knowledge, the claims against DB are with regards to its former building downtown. Paul Napoli, Marc Bern and their firm are robust and longstanding clients of banker Joanne Jensen and team. This has been vetted within DB. 122 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic
 Need update Updated KYC has been submitted

██████████ ██████████ Arnow, Joshua Terrence Tangney WEILER/ARNOW RELATIONSHIP 2/12/2015
 Terrence had a meeting today at the Weiler Arnow office. We are opening a 2 new accounts for Josh Arnow due a recent fraud attempt. 17 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - No Material Change

██████████ ██████████ William & Helen Little Family Foundation Paul Bartilucci WILLIAM LITTLE FAMILY RELATIONSHIP
 Y RELATIONSHIP 12/4/2014 None Majority of client assets left DB to follow Gerald Larr to HPM Partners. We are currently still managing this portion of the funds since it has been left with DB. 87 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - No Material Change

██████████ ██████████ Ellin, Howard Ed Finley ELLIN, HOWARD RELATIONSHIP 10/9/2014 Estimated annual income remains 1.5MM from salary and investment income. After further conversation with the client, he revealed more information on positions we were not aware of. His estimated net worth is now 20-25MM, revised up from 5-10MM. This is not a change in wealth, just a better understanding of the assets he has been holding since the relationship began. 143 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - KYC Approved #1316691

██████████ ██████████ Allen, Paul Gardner Russell Daulton ALLEN, PAUL GARDNER RELATIONSHIP 11/5/2014 Elizabeth Joy has left Vulcan and been replaced by Russell Paquette. We are currently working on updating all accounts to reflect those changes. We also spoke about the Dodd - Frank rules that give Mr. Allen the option to segregate collateral on SWAPS. Russell is looking forward to seeing us the next time we are in Seattle. Elizabeth Joy has left Vulcan, replaced by Russell Paquette. They are working on redocumenting all their accounts at which point we will update the KYC with new parties. 116 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby San Francisco COVERAGE-Domestic AML to Close - KYC Approved #1344477

██████████ ██████████ Landis, Betsy M. Liz Payne LANDIS, DONALD RELATIONSHIP 11/6/2014 Client passed away on 8/24/14. Account has been placed on Caution. Client passed away on 8/24/14. Account placed on Caution. 115 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - KYC Approved #1343368

██████████ ██████████ Landis, Donald M. Liz Payne LANDIS, DONALD RELATIONSHIP 10/3/2014 Donald Landis passed away on 8/24/14. Cautions have been placed on his accounts with us. We are awaiting Letters Testamentary, etc. on this account from his wife, Betsy Landis. Client passed away on 8/24/14. 149 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - KYC Approved #1343368

██████████ ██████████ JEJE, LLC Paul Morris SOUTHERN FINANCIAL RELATIONSHIP 2/17/2015 No changes in income producing activities Darren Indyke was added as POA in February 2014 12 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - Approved KYC #1195111

██████████ ██████████ Pacific Health Corporation Malcolm Kimble PACIFIC HEALTH RELATIONSHIP 1/30/2015 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. 30 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close

TmpExcptOver

Temporary Exceptions- Domestic (All Overdue) 3/1/2015

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	Cust
Owner	Exception Expires	Reason for Exception (If Applicable)	EM	Days Overdue	
MSR Silo					
██████████	██████████	Batmasian, Marta	Client	00000454164	Carlos Arrizurieta
2/27/2015		Temporary Exception to monitor compliance with the conditions outlined in the attached negative media escalation. Hence, an Update KYC is required within six months or immediately upon resolution of the pending suits, whichever comes first.			
			Kimberly Hart	2	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
			COVERAGE-Domestic		
██████████	██████████	Fund and Subscription Finance	Client	Rosemary Vrablic	2/13
/2015		30-day temp exception for IRS letter confirming tax exempt status.			
16				Andrew F. Gallivan	
		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby		COVERAGE-Domestic	

TmpExcptDueIn

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	Exception Expires	Reason for Exception (If Applicable)	EM	Days	Overdue
MSR Silo					
		Meridiam Infrastructure North America Fund II LP	Prospect		
	Rosemary Vrablic	6/30/2015	Exception Extended - see email below	Temp -	
		exception Extended 60 Day Temporary Exception for Borrowers Resolution	Kimberly Hart	-121	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Alliance for a Free Society, Inc.	Client		David Rodin
	3/2/2015	AML Compliance grants the following Temporary Exceptions (TE): 1. 30 days TE to obtain IRS Determination Letter/evidence Form 1024 was filed. Form 1024 has not yet been filed.			
		2. 5 day TE to run BIS for David Koch	Michael S Jacoby	-1	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Coalition for a Better Wichita, Inc.	Client		David Rodin
	3/10/2015	IRS Form 1024 will be applied in two weeks. Client will provide Determine Letter once received.	Michael S. Jacoby	-9	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Kalish Loan Trust, LLLP	Client		Joanne Jensen
	2015	30-Day TE for Trust doc for Non-Exempt Marital Trust under the Ronald G. Kalish Living Trust dated 9/8/1997, as amended	Kimberly Hart	-1	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Meridiam Infrastructure North America Fund II LP	Prospect		
		Rosemary Vrablic	6/30/2015	Exception Extended 6/30/15	see e-mail attached
		d Exception Extended - see email attached 60 Day Temporary Exception for Borrowers Resolution (see previous KYC-- 00906979 for approval)	Kimberly Hart	-121	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Patterson, Robert E.	Client		Joanne Jensen
	2015	Temporary Exception for Client meeting	Kimberly Hart	-1	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
	01307632	Douglas I. Ostrover 2014 Trust	Client		Terri Sohrab
	3/3/2015	Kimberly Hart	-2		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Falk, Raymond F.	Client		Liz Payne
	2015	90 days standard temporary exception to obtain the trust executed agreement, TIN and date of incorporation.	Kimberly Hart		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Falk, Raymond F.	Client		Liz Payne
	2015	A-90 days standard exception has been granted for the TIN and fully Executed Acceptance of Appointment from DB. B-Permanent exception has been approved for the ID, SSN, DOB and Residential Address of Mr. Eric M. Kramer (co-trustee who is going to resign)	Kimberly Hart	-8	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Falk, Raymond F.	Client		Liz Payne
	/2015	A-90 days standard exception has been granted for the TIN and fully Executed Acceptance of Appointment from DB B-Permanent exception has been approved for the ID, SSN, DOB and Residential Address of Mr. Eric M. Kramer (co-trustee who is going to resign)	Kimberly Hart	-29	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
	01335734	Meridiam Infrastructure North America Fund II LP	Prospect		
		Rosemary Vrablic	6/30/2015	Exception Extended - see email	See Temporary
		Exception for Borrowers Resolution in KYC 906979	Kimberly Hart	-121	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Civitas Canyon Mezzanine Fund, LP	Client	00000482664	Mark Gonzalez
	3/31/2015	Exemption has been extended to 3/31 please refer to attached email for more details. A 2 week temporary exception has been granted for fully executed PPM, GP and LP Agreement.	Kimberly Hart	-30	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Patterson, Robert E.	Client		Joanne Jensen
	/2015	Temporary Exception for: 1- Executed POA. RESOLVED 2/25/15. 2-Client meeting (see KYC 1295714) PENDING TO RESOLVED.	Kimberly Hart	-14	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Blackstone Energy Partners II L.P.	Client		Joanne Jensen
	3/2/2015	Resolution at loan closing	Kimberly Hart	-1	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Martin, Kenyon	Prospect		Masa Sekulic
	/2015	Temporary exception to accept the copy of the passport with Mr. Kenyon Martin's picture partially cut off approved by Compliance.	Michael J. Davis	-30	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			
		Spencer Family 2012 GRAT I	Client		Liz Payne
	5/11/2015	A standard 90 day exception for the trust TIN's and fully executed document.	Kimberly Hart	-71	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby
		COVERAGE-Domestic			

HRIPM_PastDue

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 Date	Exp Date
MSR Silo								
Temenos Villas, LLC		Terri Sohrab		2011	1	Retail Banking < \$250K	2/28	
/2007 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Lisa S. Benenson Insurance Trust						1995	1	Reta
il Banking < \$250K	8/18/1992	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						
COVERAGE-Domestic								
Altpoint Capital Partners, LLC		Brian Convey		2014	1	Retail Banking < \$25		
OK 9/9/2011		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby				COVERAGE-Domestic		
MISS AMERICA PROPERTIES, LLC		Rosemary Vrablic		2014	1	Retail Banki		
ng < \$250K 7/14/2011		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby				COVE		
RAGE-Domestic								
Pindle, LLC		Cheryl Paller		2014	1	Retail Banking < \$250K	3/8/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
GCI Technologies Ltd.		Malcolm Kimble		2013	1	Retail Banking < \$250K	4/2/	
2012 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Budinger, William M.		Terrence Tangney		2014	1	Relationship Exempt		
5/30/2001 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Budinger, William Doyle		Terrence Tangney		2014	1	Relationship Exempt		
2/25/2011 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Nicholls, Naoma		Susan Burnett		2013	1	Portfolio of Exempt Accounts	7/30	
/2007 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Aquiline Holdings LP		Joanne Jensen		2014	1	Force Exempt	3/7/2007	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
FDEG Holdings, LLLP		Terrence Tangney		2014	1	Force Exempt	7/1/	
2011 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Zahid, Mervat		Paul Bartilucci		2013	1	9/30/1994		
ivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Newamco, LLC		Rosemary Vrablic		2011	1	9/18/2008		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Ortiz Consulting, Inc.		John Marson		2013	1	7/7/2009		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Nussdorf, Arlene		Joanne Jensen		2014	1	3/3/2010		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Nussdorf, Glenn		Joanne Jensen		2014	1	3/3/2010		Kim Hart, Andrew Gal
ivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Nussdorf, Stephen		Joanne Jensen		2014	1	3/3/2010		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Left Bank Investments Limited		Terrence Tangney		2014	1	6/15/2011		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Gottbetter Capital Group, Inc.		Terrence Tangney		2014	1	12/19/2011		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Gottbetter & Partners, LLP		Terrence Tangney		2014	1	12/19/2011		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Bretton James, Inc.		Terrence Tangney		2014	1	12/21/2011		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Limestone Partners		Andrea Nicoletti		2012	1	4/18/2012		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Mitido Invest LTD		Terrence Tangney		2014	1	7/13/2012		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
SYDELL HOLDINGS LLC		Susan Burnett		2013	1	12/12/2012		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		

HRIPM_Due2015

Customer Name Explanation	Customer Number Bank	Primary Officer Auto Exempt Reason	High Risk Client	InPerson Meeting Since Date	Due Year	Past-Due Exp Offshore Account Open Date
MSR Silo						
Bruli International S.A. OK 4/12/1995		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Tim MacGuire	2015 1	Retail Banking < \$25	COVERAGE-Domestic
Comsup Commodities Inc OK 4/27/2009		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$25	COVERAGE-Domestic
Comsup Ltd. 6/2008		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	12/2 COVERAGE-Domestic
Comsup Minerals Ltd OK 12/26/2008		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$25	COVERAGE-Domestic
FDEG Corp. /2009		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terrence Tangney	2015 1	Retail Banking < \$250K	8/21 COVERAGE-Domestic
Lawrence F DeGeorge Irrevocable Trust Agreement u/a dtd November 12, 2010			Terrence Tangney	2015 1	Retail Banking < \$250K	11/19/2010
ence Tangney chael J. Davis, Michael Jacoby			Terrence Tangney	2015 1	Retail Banking < \$250K	1/26/2012
TIPPT MEDIA INC Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Terri Sohrab	2015 1	Retail Banking < \$250K	1/26/2012
Viggle Media, Inc. /2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terri Sohrab	2015 1	Retail Banking < \$250K	1/26 COVERAGE-Domestic
IUC 701 Times Square LLC ng < \$250K 3/23/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	3/23/2012
RAGE-Domestic						
Isaac Franco 2002 Grantor Retained Annuity Trust 1 Retail Banking < \$250K 3/19/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	3/19/2012
Jacoby COVERAGE-Domestic						
Isaac Franco 2001 Grantor Retained Annuity Trust 1 Retail Banking < \$250K 3/20/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	3/20/2012
Jacoby COVERAGE-Domestic						
Isaac Franco 2008 Irrevocable Trust il Banking < \$250K 3/16/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	00000472786	Rosemary Vrablic	2015 1	Retail Banking < \$250K
COVERAGE-Domestic						
Isaac Franco Alaska Trust ng < \$250K 3/23/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	3/23/2012
RAGE-Domestic						
Credit Opportunities Master Fund II, LP ng < \$250K 6/1/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Joanne Jensen	2015 1	Retail Banking < \$250K	6/1/2012
RAGE-Domestic						
Credit Opportunities Overseas Fund II, LP il Banking < \$250K 6/1/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Joanne Jensen	2015 1	Retail Banking < \$250K	6/1/2012
COVERAGE-Domestic						
Institute for the Preservation of Arts and Culture Limited 1 Retail Banking < \$250K 8/3/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Liz Payne	2015 1	Retail Banking < \$250K	8/3/2012
Jacoby COVERAGE-Domestic						
Winklevoss Media, LLC /2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Joanne Jensen	2015 1	Retail Banking < \$250K	5/31 COVERAGE-Domestic
Walkitalk LLC Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Joanne Jensen	2015 1	Retail Banking < \$250K	7/5/2012
Technomic LLC Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Joanne Jensen	2015 1	Retail Banking < \$250K	7/5/2012
TRITONIC HOLDINGS, LLC 2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Joanne Jensen	2015 1	Retail Banking < \$250K	7/9/ COVERAGE-Domestic
Infinity Lifestyle Brands, LLC ng < \$250K 7/20/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	7/20/2012
RAGE-Domestic						
ASEAN China Investment Fund L.P. OK 10/25/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Malcolm Kimble	2015 1	Retail Banking < \$25	COVERAGE-Domestic
TW RE Trust Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Joanne Jensen	2015 1	Retail Banking < \$250K	12/17/2012
Rado Tours, LLC Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Joanne Jensen	2015 1	Retail Banking < \$250K	10/12/2012
Infinity AL Holdings, LLC ng < \$250K 11/8/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Rosemary Vrablic	2015 1	Retail Banking < \$250K	11/8/2012
RAGE-Domestic						
The CW RE Trust Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			Joanne Jensen	2015 1	Retail Banking < \$250K	12/17/2012
CKI Events, LLC Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby			David Rodin	2015 1	Retail Banking < \$250K	2/9/2012
Paparoni, Fernando 2/17/2012		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terrence Tangney	2015 1	Relationship Exempt	COVERAGE-Domestic
L J & Fa DeGeorge Charitable Trust folio of Exempt Accounts Jacoby COVERAGE-Domestic		Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Terrence Tangney	2015 1	Portfolio of Exempt Accounts	12/22/1994
Khalilzad, Zalmay M			John Marson	2015 1	Portfolio of Exempt Accounts	

11/2/2009	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Kushner, Murray	██████████	Rosemary Vrablic	2015	1		Non-Funded Accounts	12/2	
1/1988	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Cerberus Capital Management, L.P.	██████████	George Zahringer	2015	1		Non-Funded Accounts		
Funded Accounts 4/3/2012	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Rein, LLC	██████████	David Rodin	2015	1		Non-Funded Accounts	2/2/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Denmar, LLC	██████████	David Rodin	2015	1		Non-Funded Accounts	2/2/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Ario, LLC	██████████	David Rodin	2015	1		Non-Funded Accounts	8/24/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
FDEG Family Limited Partnership	██████████	Terrence Tangney	2015	1		Force Exempt		
8/24/2009	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Leto, LLC	██████████	David Rodin	2015	1		Force Exempt	3/14/2012	Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
CGK 2011 Annuity Trust	██████████	David Rodin	2015	1		Force Exempt	3/15/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
TCW Enterprises LLC	██████████	Joanne Jensen	2015	1		Force Exempt	5/15/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Hestianic Holdings, LLC	██████████	Joanne Jensen	2015	1		Force Exempt	5/15/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Winklevoss Capital Fund, LLC	██████████	Joanne Jensen	2015	1		Force Exempt	5/17	
/2012	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Antonine Investments LLC	██████████	Joanne Jensen	2015	1		Force Exempt	5/18	
/2012	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Hadrian Investments LLC	██████████	Joanne Jensen	2015	1		Force Exempt	5/18/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Winklevoss Capital Management LLC	██████████	Joanne Jensen	2015	1		Force Exempt		
5/21/2012	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby					COVERAGE-Domestic		
Nina Holdings LLC	██████████	Joanne Jensen	2015	1		Force Exempt	8/17/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
EFPRP Investments LLC	██████████	David Rodin	2015	1		Force Exempt	7/10/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Heraclean Holdings LLC	██████████	Joanne Jensen	2015	1		Force Exempt	7/6/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
CW Crimson Trust	██████████	Joanne Jensen	2015	1		Force Exempt	12/17/2012	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
The Mao Charitable Remainder Unitrust	██████████	Russell Daulton	2015	1			11/30/2003	
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
MJX, LLC	██████████	Terri Sohrab	2015	1		6/25/2007		Kim Hart, Andrew Gal
ivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Sea Change Foundation	██████████	Terri Sohrab	2015	1		5/8/2008		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Franco, Isaac S.	██████████	Rosemary Vrablic	2015	1		7/18/2008		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
The Nagel Family Living Trust	██████████	Deirdre Judge	2015	1		10/20/2008		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
FF Property Management, LLC	██████████	John Marson	2015	1		12/7/2009		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
The Roger William Norman Trust	██████████	Patricia Bennett	2015	1		3/22/2011		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
NF Airport Spectrum Investors LP	██████████	Deirdre Judge	2015	1		1/11/2012		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Paparoni, Cesar	██████████	Terrence Tangney	2015	1		2/17/2012		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
Estate of Florence A. DeGeorge	██████████	Terrence Tangney	2015	1		6/1/2012		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
VannaRae, LLC	██████████	Terrence Tangney	2015	1		6/25/2012		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
NF Marina, LP	██████████	Deirdre Judge	2015	1		10/9/2012		Kim Hart, Andrew Gal
ivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
CIP Five Holdings, Ltd	██████████	George Zahringer	2015	1		11/16/2012		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
AL Infinity, LLC	██████████	Rosemary Vrablic	2015	1		11/8/2012		Kim
Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		
IDL Wheel Tenant, LLC	██████████	Terri Sohrab	2015	1		11/16/2012		Kim Hart, An
drew Galivan, Michael J. Davis, Michael Jacoby						COVERAGE-Domestic		