

PIVOT

File Combined BR (Multiple Items)

CORP_GM_PRODUCT_COLOUR (Multiple Items)

Row Labels Count of FILEID

AFC Dispensation 1

GM has been retained, GTB is "Partial Exit" no further approvals should be required 1

In 52k 38

Remediation 2017 52k case: Requires 1) KYC to be completed in CIB and confirmation required from regional leads that KYC was completed to the required standard, equivalent to CIB ExCO Approval and ACO or 2) full and brand new NCA required if KYC has not been done (note, this will not come out of offboarding until NCA is complete) 38

Rejected Swap Out 1

Remediation 2017 52k case: Requires 1) KYC to be completed in CIB and confirmation required from regional leads that KYC was completed to the required standard, equivalent to CIB ExCO Approval and ACO or 2) full and brand new NCA required if KYC has not been done (note, this will not come out of offboarding until NCA is complete) 1

Swap In - Offboarding 2018 1

Remediation 2017 52k case: Requires 1) KYC to be completed in CIB and confirmation required from regional leads that KYC was completed to the required standard, equivalent to CIB ExCO Approval and ACO or 2) full and brand new NCA required if KYC has not been done (note, this will not come out of offboarding until NCA is complete) 1

#N/A 19

ACO approval 10

Confirmation required from regional leads that KYC was completed to the required standard. NCA required if KYC has not been done. ACO approval 9

Grand Total 60

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COMBINED

Client Name	CRDS ID	CRDS ID with location	WM ACO	Tab
Iris Ceramica Group Societa' Per Azioni,IT	1000293306_GB	Alessandro Cummunale	KCP EMEA	1.000293306E9
Karrick Limited,GG/ LK Advisers LTD, GB	1.001107173E9	1001107173_US	Alessandro Cummunale	KCP EMEA
MC Management GmbH,AT/ Anadoria	1.000077151E9	1000077151_DE	Alessandro Cummunale	KCP EMEA
Portland Worldwide Investments Limited	1.000377603E9	1000377603_DE	Alessandro Cummunale	KCP EMEA
Romano Minozzi	1.001145054E9	1001145054_DE	Alessandro Cummunale	KCP EMEA
ZZ Strategy Limited	1.013277859E9	1013277859_GB	Alessandro Cummunale	KCP EMEA
10ak Capital Limited	1.000465354E9	1000465354_GB	Raphael Drescher	KCP EMEA
Aktiebolaget Stena Finans,SE	1.000176786E9	1000176786_GB	Raphael Drescher	KCP EMEA
Brederode International Sarl, LU	1.001146814E9	1001146814_GB	Raphael Drescher	KCP EMEA
Brederode SA,BE, Geyser SA	1.000629573E9	1000629573_GB	Raphael Drescher	KCP EMEA
Brett Palos Investments Ltd	1.000601518E9	TBC	Raphael Drescher	KCP EMEA
Charles William Dunstone	1.001458624E9	1001458624_GB	Raphael Drescher	KCP EMEA
Cofra Holding AG	1.000055035E9	1000055035_GB	Raphael Drescher	KCP EMEA
Dunross & CO Aktiebolag,SE	1.000044577E9	1000044577_GB	Raphael Drescher	KCP EMEA
Hadfield Luxembourg SARL	1.008057154E9	TBC	Raphael Drescher	KCP EMEA
IKEA Services	1.00017409E9	1000174090_DE	Raphael Drescher	KCP EMEA
Inter Fund Management S.A.,LU	1.000571359E9	1000571359_GB	Raphael Drescher	KCP EMEA
Kirkbi A/S	1.000835796E9	TBC	Raphael Drescher	KCP EMEA
Mansour family	1.000018155E9	1000018155_AE	Raphael Drescher	KCP EMEA
MECON HOLDING CO. W.L.L.	1.001261355E9	TBC	Raphael Drescher	KCP EMEA
Reuben Brothers Limited	1.000639994E9	1000639994_GB	Raphael Drescher	KCP EMEA
Shop Direct Finance Company Ltd, GB	1.001220702E9	1001220702_GB	Raphael Drescher	KCP EMEA
Sphinx Investment Corp, MH	1.007963091E9	1007963091_GB	Raphael Drescher	KCP EMEA
Stena Investment SARL, LU	1.000714733E9	1000714733_GB	Raphael Drescher	KCP EMEA
TFB Mortgages	1.001261151E9	1001261151_GB	Raphael Drescher	KCP EMEA

Alovet S.L	1.00018098E9	1000180980_DE	Vincenzo Maini	KCP EMEA
Axia Investments Limited,KY	1.000773998E9	1000773998_GB	Vincenzo	
Maini KCP EMEA				
Beachwood Universal Limited	1.009657303E9	1009657303_GB	Vincenzo	
Maini KCP EMEA				
De Longhi Industrial S.A.	1.013156462E9	TBC	Vincenzo Maini	
KCP EMEA				
Ekistics Liquid Investments 2 Limited,VG	1.004821234E9	TBC	Vincenzo	
Maini KCP EMEA				
Ekistics Mezzanine Investors Finance Company 1 S.a r.l	1.000604343E9			
TBC Vincenzo Maini KCP EMEA				
Falkstenen AB,SE	1.000519821E9	1000519821_GB	Vincenzo Maini	
KCP EMEA				
Fedesa	1.000068017E9	TBC	Vincenzo Maini	KCP EMEA
Goldstone Capital Limited	1.004527299E9	TBC	Vincenzo Maini	
KCP EMEA				
Hougou Family (Pierre Tristan Michel Bastid)	1.000801021E9			
1000801021_GB Vincenzo Maini KCP EMEA				
Longbow Finance S.A.,CH	1.000077795E9	1000077795_DE	Vincenzo Maini	
KCP EMEA				
Noga Real Estate Ltd	1.007863101E9	TBC	Vincenzo Maini	KCP EMEA
Paramount Holdings	1.004417918E9	1004417918_GB	Vincenzo Maini	
KCP EMEA				
Pierre Bastid - Hougou	1.012902844E9	TBC	Vincenzo Maini	KCP EMEA
Premier Group	1.007510398E9	TBC	Vincenzo Maini	KCP EMEA
Rijn Capital B.V.	1.013962671E9	TBC	Vincenzo Maini	KCP EMEA
ROSP	1.001261005E9	TBC	Vincenzo Maini	KCP EMEA
Sucres et Denrees SA,FR	1.000061217E9	1000061217_FR	Vincenzo Maini	
KCP EMEA				
Suliman S. Olayan Foundation	1.00448807E9	TBC	Vincenzo Maini	
KCP EMEA				
SUPREME UNIVERSAL HOLDINGS LIMITED	1.004524963E9	1004524963_GB		
Vincenzo Maini KCP EMEA				
Tetral/Freemont Investment Management,CH	1.001183304E9	1001183304_DE		
Vincenzo Maini KCP EMEA				
Waypoint Treasury Limited,JE	1.000079707E9	1000079707_GB	Vincenzo	
Maini KCP EMEA				
Miraplan Asset Management LTD.,KY	1.00079786E9	1000797860_DE		
Xavier Avila KCP EMEA				
265 Strand Property S.A R.L.,LU	1.015164797E9	1015164797_GB	KCP EMEA	
AG Mortgage Investment Trust INC,US	1.001220787E9	1001220787_US		
KCP EMEA				
Arnault	1.000064987E9	TBC	KCP EMEA	
Christoph Henkel,GB	1.00114191E9	TBC	KCP EMEA	
Constellation Opportunities Fund Limited	1.015632342E9	1015632342_SG		
KCP EMEA				
Fritz Thyssen Stiftung,DE	1.000054639E9	1000054639_DE	KCP EMEA	
Joachim Herz Stiftung,DE	1.000077319E9	1000077319_DE	KCP EMEA	
Ltp Libourne Sarl,FR	1.014584425E9	1014584425_GB	KCP EMEA	
MT Luxco S.A R.L.,LU	1.015488174E9	1015488174_DE	KCP EMEA	
Nns Holding S.A R.L.,LU	1.000694843E9	TBC	KCP EMEA	

Norwegian Cruise Line Holdings	1.000008449E9	1000008449_CA	KCP EMEA
Pinault	1.00018183E9	TBC	KCP EMEA
Schieferstein Consulting und Asset Management GmbH,DE	1.000256925E9		
1000256925_DE			KCP EMEA
Semper Constantia Privatbank Aktiengesellschaft,AT	1.000036349E9		
1000036349_DE			KCP EMEA
Stihl International Gesellschaft Mit Beschraenkter Haftung,DE			
1.000170756E9	1000170756_DE		KCP EMEA
Talented Chief Limited,VG	TBC		KCP EMEA
Bancard International Investments Inc	1.005279847E9	1005279847_GB	
Xavier Avila			KCP US
Blue Dragon Investments	1.000270715E9	1000270715_GB	Xavier Avila
KCP US			
Blue Dragon Investments	1.000748425E9	1000748425_GB	Xavier Avila
KCP US			
Arbitral International Corporation	1.000302605E9	1000302605_GB	
Xavier Avila			KCP US
Armory Fund LDC	1.000635214E9	1000635214_GB	Xavier Avila KCP US
Bevco Lux S.a r. l.	1.010007434E9	1010007434_GB	Xavier Avila
KCP US			
Blue Media Investments Inc	1.000622835E9	1000622835_GB	Xavier Avila KCP US
Avila			
Bradwell Commercial Ltd	1.000384058E9	1000384058_GB	Xavier Avila
KCP US			
Kifenor SA	1.000334995E9	1000334995_DE	Xavier Avila KCP US
Davinci Capital SAPI de CV	1.004639543E9	1004639543_ES	Xavier Avila KCP US
Avila			
Drake Aurora Fund	1.00450245E9	1004502450_GB	Xavier Avila
KCP US			
Tendencia Asset Management Ltd	1.009074801E9	TBC	Xavier Avila
KCP US			
Fratelli Investments Limited	1000081408	1000081408_GB	Xavier Avila KCP US
Avila			
Aivilo Spain SL	1.004738735E9	1004738735_DE	Xavier Avila KCP US
Inverban	1.001261063E9	1001261063_GB	Xavier Avila KCP US
Lepton Fund Ltd,BR	1.000365839E9	1000365839_GB	Xavier Avila
KCP US			
Miraplan Asset Management Ltd	1.00079786E9	1000797860_DE	Xavier Avila KCP US
Avila			
Monex Inversiones SA	1.001261818E9	1001261818_GB	Xavier Avila
KCP US			
03 Capital Global Fund	1.012934358E9	1012934358_DE	Xavier Avila
KCP US			
Proaltus Capital Partners SL	1.000596483E9	1000596483_GB	Xavier Avila KCP US
Avila			
Puerto Asis Corporation	1.004605899E9	1004605899_US	Xavier Avila
KCP US			
Roman / OPTIMIST INVESTMENT ADVISORS S.A	1.000641214E9	1000641214_GB	Xavier Avila KCP US
Avila			
Signature Capital	1.005284346E9	1005284346_GB	Xavier Avila
KCP US			

Techint S.A. De C.V. KCP US	1.003983724E9	1003983724_US	Xavier Avila
Televisa SA de CV KCP US	1.000051443E9	1000051443_GB	Xavier Avila
Tendencia Asset Management Ltd Avila KCP US	1.009003844E9	1009003844_GB	Xavier
Tonelle Limited	1.001107167E9	1001107167_DE	Xavier Avila KCP US
Transacciones e Inversiones Arizona SA Xavier Avila KCP US	1.000302747E9	1000302747_US	
Tresalia Hedge Latam L.P. Avila KCP US	1.000672724E9	1000672724_GB	Xavier
USD Bevco S.a r.l. KCP US	1.009987702E9	1009987702_GB	Xavier Avila
W De Argentina - Inversiones S.A Xavier Avila KCP US	1.007979444E9	1007979444_US	
MPT Funds SPC LTD KCP US	1.001260949E9	1001260949_GB	Xavier Avila
Mantiqueira Overseas Fund LTd Avila KCP US	1.009965413E9	1009965413_GB	Xavier
Simco Investment Management Corporation Xavier Avila KCP US	1.001146566E9	1001146566_GB	
Ansbacher Bahamas Limited,BS Posen KCP US	1.000303252E9	1000303252_DE	David
Colina Insurance Limited Posen KCP US	1.007668198E9	1007668198_GB	David
Amzak Capital Management LLC Avila KCP US	1.000713302E9	1000713302_GB	Xavier
The Anschutz Foundation	1.003511251E9	TBC	Xavier Avila KCP US
E.N. Investment Company KCP US	1.000159818E9	1000159818_GB	Xavier Avila
Avalon Hedged Equity Fund L.P. Kaiser KCP US	1.000039769E9	1000039769_GB	Daniel E
Canyon Green Solemint LLC,US / Geoffrey H Palmer,US 1000167608_US Xavier Avila KCP US	1.000167608E9		
CARPE DIEM CAPITAL PTY LIMITED Kaiser KCP US	1.004536091E9	1004536091_AU	Daniel E
Cascade Investment LLC	1.009057698E9	TBC	Xavier Avila KCP US
DAVID H MURDOCK LIVING TRUST Avila KCP US	1.001262658E9	1001262658_CA	Xavier
Dean Holdings Inc KCP US	1.004737742E9	1004737742_CA	Xavier Avila
ENDURANCE VOYAGES, LLC KCP US	1.008679777E9	1008679777_US	Xavier Avila
Gapstow	1.003715597E9	1003715597_US	Xavier Avila KCP US
George B Kaiser	1.000589666E9	1000589660_GB	Xavier Avila KCP US
George Kaiser Family Foundation Avila KCP US	1.000335587E9	1000335587_GB	Xavier
GLSC 48 SPECIAL LLC KCP US	1.007914638E9	1007914638_US	Xavier Avila
Hartz Capital Investments Ltd,US Xavier Avila KCP US	1.000049307E9	1000049307_GB	

Himalaya Partners	1.000039669E9	TBC	Xavier Avila	KCP US
Icahn Enterprises LP	1.000056225E9	1000056225_US	Daniel Kaiser	KCP US
JMB Capital Partners LP	1.000042361E9	1000042361_US	Xavier Avila	KCP US
Karlin Asset Management	1.000385586E9	TBC	Daniel Kaiser	KCP US
McCamish Group	1.000675268E9	1000675268_US	Xavier Avila	KCP US
Medley Partners	1.003446816E9	TBC	Xavier Avila	KCP US
Osiris Holdings Inc	1.000155866E9	1000155866_CA	Xavier Avila	KCP US
Parkwood LLC	1.007669306E9	1007669306_US	Xavier Avila	KCP US
SIMON CHARITABLE PRIVATE LLC	1.004027219E9	1004027219_GB	Xavier Avila	KCP US
SIMON CHARITABLE PUBLIC LLC	1.000001979E9	1000001979_GB	Xavier Avila	KCP US
SIMON MARKETABLE, L.P.	1.00520244E9	1005202440_US	Xavier Avila	KCP US
Pacifica Companies	1.003926685E9	TBC	Xavier Avila	KCP US
Paul G Allen	1.009438472E9	1009438472_GB	Xavier Avila	KCP US
Petrus Asset Management Company	1.005280024E9	1005280024_US	Xavier Avila	KCP US
PW Focus Fund LLC	1.009893804E9	1009893804_GB	Xavier Avila	KCP US
RWN Management LLC	1.000079101E9	1000079101_US	Xavier Avila	KCP US
SC DELANCEY LLC	1.007440895E9	1007440895_US	Xavier Avila	KCP US
Silver Rock Financial LLC	1.000026475E9	1000026475_GB	Xavier Avila	KCP US
Somerston Investments Ltd,GB	1.000227124E9	1000227124_GB	Xavier Avila	KCP US
Southern Financial LLC	1.007406812E9	1007406812_GB	Xavier Avila	KCP US
Vulcan Capital Management (Fifth Street)			1.000026669E9	TBC
Xavier Avila				KCP US
West Family Investments Inc	1.000038847E9	1000038847_GB	Xavier Avila	KCP US
Willett Advisors LLC	1.003437027E9	1003437027_GB	Xavier Avila	KCP US
MSD Capital L.P.	1.000005933E9	1000005933_GB	Xavier Avila	KCP US
Cerberus Capital Management L.P.			1.000256779E9	1000256779_CA
Xavier Avila				KCP US
Equity Investments, LP	1.009171312E9	1009171312_GB	Xavier Avila	KCP US
Duquesne family office	1.000270989E9	1000270989_GB	Dan Bergad	KCP US
PENN CAPITAL MANAGEMENT COMPANY, INC			1.000001979E9	1000001979_GB
Xavier Avila				KCP US
AQUILINE HOLDINGS LLC	1.003513703E9	1003513703_GB	Xavier Avila	KCP US
TECHVIEW INVESTMENTS LTD.	1.000474451E9	1000474451_US	Xavier	KCP US

Avila KCP US					
Alden Global Capital LLC,US	1.003458959E9		1003458959_GB	Xavier	
Avila KCP US					
Andrew Mathias	1.009039376E9	TBC	Xavier Avila	KCP US	
Centaurus Capital LP	1.000802041E9		1000802041_GB	Xavier Avila	
KCP US					
Chris Cline	1.008596938E9	TBC	Xavier Avila	KCP US	
Corbin Capital Partners LP,US	1.000283263E9		1000283263_GB	Xavier	
Avila KCP US					
Jaws Capital LP,US	1.000289842E9		1000289842_GB	Xavier Avila	
KCP US					
JHAC LLC	1.000412615E9		1000412615_GB	Xavier Avila	KCP US
JR Miller Enterprises	1.013458025E9	TBC	Xavier Avila	KCP US	
JR Miller Enterprises	1.013352892E9		1013352892_GB	Xavier Avila	
KCP US					
JVB Properties LLLP	1.003485758E9		1003485758_US	Xavier Avila	
KCP US					
Peak6 Investments,L.P.	1.000076933E9		1000076933_GB	Xavier Avila	
KCP US					
TOMS Capital LLC	1.00064002E9	TBC	Xavier Avila	KCP US	
TRB Fund I LP	1.004060262E9	TBC	Xavier Avila	KCP US	
Wilbur Ross	1.004503469E9		1004503469_US	Xavier Avila	KCP US
SIMCO INVESTMENT MANAGEMENT CORPORATION	1.001146566E9		1001146566_GB		
Xavier Avila KCP US					
Kawa Capital Management	1.000076625E9		1000076625_GB	Xavier Avila	
KCP US					
Pascal Fund, Ltd.	1.001467253E9		1001467253_GB	Xavier Avila	
KCP US					
Sheffield Asset management	1.000077095E9		1000077095_DE	Xavier	
Avila KCP US					
Union Communications Company LP,US	1.000077351E9		1000077351_US		
Xavier Avila KCP US					
Monashee Investment Management LLC,US	1.000644037E9		1000644037_GB		
Xavier Avila KCP US					
Hamlin Capital Management, LLC,US	1.000013675E9		1000013675_US		
Xavier Avila KCP US					
Elk Creek Partners LLC	1.001456865E9		1001456865_US	Xavier Avila	
KCP US					
TradeInvest Financial Holdings LTD	1.01566581E9		1015665810_GB		
Xavier Avila KCP US					
Bellerofonte LLC	1.015906547E9	TBC	Xavier Avila	KCP US	
The Lamia Ventures Corp	1.013887599E9	TBC	Xavier Avila	KCP US	
Vanguardia Inversiones SAS	1.008199869E9	TBC	Xavier Avila		
KCP US					
Vanguardia Inversiones SAS	1.008300941E9	TBC	Xavier Avila		
KCP US					
Inversiones Alabama Limitada	1.016136898E9	TBC	Xavier Avila		
KCP US					
Fifth Street Station LLC	1.000846097E9	TBC	Xavier Avila		
KCP US					
Anschutz Investment Company	1.000078659E9	TBC	Xavier Avila		

KCP US

Dakota Pacific Global Macro Fund LLC	1.01555301E9	TBC	Xavier
Avila KCP US			
Facile Investments Limited	1.000634175E9	1000634175_GB & HK & US	
Reema Parmar WM APAC			
Archer Asset Holding Ltd	1.008318901E9	1008318901_GB & _HK	
Reema Parmar WM APAC			
Chatsworth Asset Holding Ltd	1.000806275E9	1000806275_HK & US	
Reema Parmar WM APAC			
Greenwich Asset Holding Ltd	1.000292945E9	1000292945_GB & HK & SG &	
US Reema Parmar WM APAC			
Newton Asset Holding Ltd	1.004577342E9	1004577342_GB & HK & SG &	
US Reema Parmar WM APAC			
Hemingway Asset Holding Ltd	1.004603201E9	1004603201_GB & HK & SG	
Reema Parmar WM APAC			
Glasgow Asset Holding Ltd	1.004603199E9	1004603199_GB & HK and	
SG Reema Parmar WM APAC			
Berkeley Asset Holding Ltd	1.000676995E9	1000676995_GB & HK and	
SG Reema Parmar WM APAC			
Claradon Investments Limited	1.000659092E9	1000659092_GB & HK	
Reema Parmar WM APAC			
Properon International Limited	1.000634167E9	1000634167_HK & SG	
Reema Parmar WM APAC			
Foxdale Asset Holding Ltd	1.004520317E9	1004520317_US	Reema
Parmar WM APAC			
Preston Asset Holding Limited	1.004789629E9	1004789629_GB & SG & US	
Reema Parmar WM APAC			
Marvell Assets Limited	1.007606524E9	1007606524_GB & US	Reema
Parmar WM APAC			
Hampton Asset Holding Ltd	1.000634668E9	1000634668_GB	Reema
Parmar WM APAC			
Showina Investments Ltd	1.000634178E9	1000634178_GB	Reema Parmar
WM APAC			
Dalvey Asset Holding Ltd	1.000774046E9	1000774046_GB	Reema
Parmar WM APAC			
Mayfair Asset Holding Ltd	1.004577333E9	1004577333_GB	Reema
Parmar WM APAC			
Eton Asset Holding Ltd	1.004487944E9	1004487944_GB	Reema Parmar
WM APAC			
Infinity Asset Holding Ltd	1.004487954E9	1004487954_GB	Reema
Parmar WM APAC			
Lancaster Asset Holding Ltd	1.004861676E9	1004861676_GB	Reema
Parmar WM APAC			
Jasmine Asset Holding Ltd	1.004861662E9	1004861662_GB	Reema
Parmar WM APAC			
Kingsbridge Asset Holding Ltd	1.00486165E9	1004861650_GB & HK &	
SG Reema Parmar WM APAC			

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