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IF(K168<>"",IF(T168=1,"High",IF(U168=1,"Moderate","Low")),")=Moderate

IF(K168<>"",COUNTIF(K:K,K168),")=2

IF(K168<>"",SUM(B168:J168),")=1

IF(K168<>"",SUM(X168,A168),")=1 WEEKNUM(0168,14)=40

WEEKNUM([@[Edit Date]],2)=40 IF(K168<>"",LEN(M168),")=88

(LEN(\$L168)-LEN(SUBSTITUTE(UPPER(\$L168),UPPER(AC\$1),"")))/LEN(AC\$1)=1

(LEN(\$L168)-LEN(SUBSTITUTE(UPPER(\$L168),UPPER(AD\$1),"")))/LEN(AD\$1)=0

(LEN(\$L168)-LEN(SUBSTITUTE(UPPER(\$L168),UPPER(AE\$1),"")))/LEN(AE\$1)=0

(LEN(\$L168)-LEN(SUBSTITUTE(UPPER(\$L168),UPPER(AF\$1),"")))/LEN(AF\$1)=0

0 1 0 0 0 2 0 0 0

0 1983253 1. In addition to the provided source of wealth information, please provide info and narrative as to the source of funds that will be deposited into the account. (SoF)

2. Please provide a percentage verification as to the different sources of wealth. Specifically, which sources are responsible for more than 25% of the UBOs wealth? (SoW)

3. Under section 3A of the Global print section covering UBO Jeffrey E. Epstein, there is a box checked reflecting that Mr. Epstein has not resided outside of the US for 5 years or more. This contradicts other media covering Mr. Epstein suggesting he has resided in the US Virgin Islands for longer than 5 years. Please confirm. (ID) High Risk Pilot Check

1. In addition to the provided source of wealth information, please provide info and narrative as to the source of funds that will be deposited into the account.

2. Please provide a percentage verification as to the different sources of wealth. Specifically, which sources are responsible for more than 25% of the UBOs wealth?

3. Under section 3A of the Global print section covering UBO Jeffrey E. Epstein, there is a box checked reflecting that Mr. Epstein has not resided outside of the US for 5 years or more. This contradicts other media covering Mr. Epstein suggesting he has resided in the US Virgin Islands for longer than 5 years. Please confirm. Periodic Review 10/2/2018

4. Ready for AML & Bus. Risk Approval Parker Hastings Mayur Rathod

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please uncheck box in the KYC related parties section.

4. Parties related to the account: please mark Sandra as Signatory/- Full POA acting in the capacity as Trustee.

5. Please indicate employment history how long has she been retired. Please run research for Calpers, as Sandra's SOW, as applicable.

a. Section is blank: Estimated amount of investable assets(\$):

b. Section is blank: Amount of assets planned to invest with PWM(\$):

6. Legal Entity Details: Sandra C Coyle Trust - Missing EIN or TIN.

a. Section is blank: Nature of the Individual's Business:

7. Please attach account agreement for account# 655750, the attached is for custody agreement 650480 & 650481. Existing Client - New

Account 10/30/2018 4. Ready for AML & Bus. Risk Approval Jo-Anne

Santos Teresa Sapp 0 0

IF(K406<>"",IF(T406=1,"High",IF(U406=1,"Moderate","Low")),")=Low

IF(K406<>"",COUNTIF(K:K,K406),")=1

IF(K406<>"",SUM(B406:J406),")=0

IF(K406<>"",SUM(X406,A406),")=0 WEEKNUM(0406,14)=44

WEEKNUM([@[Edit Date]],2)=44 IF(K406<>"",LEN(M406),")=1420

(LEN(\$L406)-LEN(SUBSTITUTE(UPPER(\$L406),UPPER(AC\$1),"")))/LEN(AC\$1)=0

(LEN(\$L406)-LEN(SUBSTITUTE(UPPER(\$L406),UPPER(AD\$1),"")))/LEN(AD\$1)=0

(LEN(\$L406)-LEN(SUBSTITUTE(UPPER(\$L406),UPPER(AE\$1),"")))/LEN(AE\$1)=2

(LEN(\$L406)-LEN(SUBSTITUTE(UPPER(\$L406),UPPER(AF\$1),"")))/LEN(AF\$1)=1

0 0 0 0 0 0 0 0 0

0 1960714 "10/29/2018 New Rejection Points due to provided

information:

1. The updated ownership indicates Steven Tananbaum as 39.1% owner of the LP, which has 100% membership interests of the account holder. Please indicate how he holds 40.68% of the account holder through the LP. 4

2. GlobalTree Asset Management Transportation LLC - Organizational structure does not match with the provided updated ownership structure. Please review the descriptions pursuant the updated ownership. 4

3. Steve Tananbaum is the only one who owns more than 10% of the account holder. Please update the account roles for Leon M. Wagner and Mr. Tananbaum (Significant Shareholder and Other). 5

4. Section D - Please check Steven Tananbaums negative results referred to Google search. There are several articles about a law suit. Please also disposition the Panama hit for GoldenTree Asset Management LP. 8

5. Updated SoW verification for UBOs and account holder are not attached. Please provide us with those. 6

6. Please provide us with a new FinCen form, since it is an EDR. 7

10/29/2018 New Rejection Points due to provided information:

1. The updated ownership indicates Steven Tananbaum as 39.1% owner of the LP, which has 100% membership interests of the account holder. Please indicate how he holds 40.68% of the account holder through the LP.

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referred to Google search. There are several articles about a law suit. Please also disposition the Panama hit for GoldenTree Asset Management LP.

5. Updated SoW verification for UBOs and account holder are not attached. Please provide us with those.

6. Please provide us with a new FinCen form, since it is an EDR.

Below rejection points are as a result of a preliminary review by a Passcon staff. AFC has not yet reviewed the case.

1. Please populate the missing CRSLU Account No, if it is available  
RESOLVED

2. Please attach Google and ICIJ Research for the account holder and UBOs. RESOLVED

3. The Incorporation Date of GoldenTree Asset Management LP does not match with regard to the COGS. Please change the date. RESOLVED

4. Please populate the Country of Incorp. and countries where business is transacted for Goldentree Asset Management LP. RESOLVED

5. As Barry Ritholz's Profession is General Counsel, please attach the Martindale research. RESOLVED

6. Section Wealth Profile: the SoW of the Primary Country and Primary Industry is blank for UBOs and account holder. Please populate these fields. RESOLVED

7. Please give a reference for the individuals' IDs. IDs are neither attached to the current nor in the previous KYCs. (#01777384 and #01818319). RESOLVED

8. Please summarize and disposition any negative result (RDC, ICIJ etc.) in Section D, more specifically for each Party even if no negative result was found.

9. The product of account 42927314 in DBforce is Deposit Transaction. Please review the purpose for the account as it is described as Money Market Business Account. RESOLVED

10. Please confirm whether Mr. Tananbaum received 25% of his SoW of his prior employer MacKay or not. He worked there from 1989-1999 as an investment specialist. If yes, please run research for MacKay. RESOLVED

11. GoldenTree Asset Management LLC " please correct ownership narrative regarding its relationship to the LP. RESOLVED

12. Please provide us with a certified ownership structure or with the Goldentree Asset Management LP Partnership Agreement. The initial capital contribution percentages are attached, but there is a contradiction, as the LP has a 100% membership interest in the account holder, which is not indicated. Leon Wagner is also no longer a limited partner of the LP according to the description of the organizational structure for the LP, so we need to know if he still has a significant ownership stake in the account holder or not. RESOLVED

13. Updated SoW verification for UBOs and account holder are not attached. Please provide us with those. Update to KYC 10/30/2018

5. Ready for Compliance Approval Chris Klug Vijay-A Sawant

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IF(K407<>"",IF(T407=1,"High",IF(U407=1,"Moderate","Low")),"")=High

IF(K407<>"",COUNTIF(K:K,K407),"")=2

IF(K407<>"",SUM(B407:J407),"")=0

IF(K407<>"",SUM(X407,A407),"")=0

WEEKNUM(0407,14)=44

WEEKNUM([@[Edit Date]],2)=44 IF(K407<>"",LEN(M407),"")=3326  
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 (LEN(\$L407)-LEN(SUBSTITUTE(UPPER(\$L407),UPPER(AD\$1),"")))/LEN(AD\$1)=1  
 (LEN(\$L407)-LEN(SUBSTITUTE(UPPER(\$L407),UPPER(AE\$1),"")))/LEN(AE\$1)=1  
 (LEN(\$L407)-LEN(SUBSTITUTE(UPPER(\$L407),UPPER(AF\$1),"")))/LEN(AF\$1)=4  
 0 0 0 0 0 0 0 0 0 0  
 0 1968676 High risk 10 Point Pilot Program Periodic Review  
 10/31/2018 4. Ready for AML & Bus. Risk Approval Morgan Trichel  
 Rebecca Lang N/A 1 0

IF(K408<>"",IF(T408=1,"High",IF(U408=1,"Moderate","Low")),"")=High  
 IF(K408<>"",COUNTIF(K:K,K408),"")=1  
 IF(K408<>"",SUM(B408:J408),"")=0  
 IF(K408<>"",SUM(X408,A408),"")=0 WEEKNUM(O408,14)=44

WEEKNUM([@[Edit Date]],2)=44 IF(K408<>"",LEN(M408),"")=32  
 (LEN(\$L408)-LEN(SUBSTITUTE(UPPER(\$L408),UPPER(AC\$1),"")))/LEN(AC\$1)=0  
 (LEN(\$L408)-LEN(SUBSTITUTE(UPPER(\$L408),UPPER(AD\$1),"")))/LEN(AD\$1)=0  
 (LEN(\$L408)-LEN(SUBSTITUTE(UPPER(\$L408),UPPER(AE\$1),"")))/LEN(AE\$1)=0  
 (LEN(\$L408)-LEN(SUBSTITUTE(UPPER(\$L408),UPPER(AF\$1),"")))/LEN(AF\$1)=0  
 0 0 0 0 0 0 0 0 0 0

0 1965768 "AFC has not yet reviewed the case. Below is a list of preliminary rejection points:  
 1. Please rerun Research for Claire Judith COOKE and Martin CALATRAVA, as their last names were misspelled in the attached research. Also, please run research for all SoW entities (Argentine Bank + Argentine Insurance Company is missing). 8  
 2. Please address every party that was researched in section D (summary of negative media/court cases) even if no negative media/court cases have been found. Also, please address the negative media for Anthony Patrick Haigh in section D. 8  
 3. Please describe the chain from the direct owner of the account holder (Michelia Inc.) to the ultimate beneficial owner in more detail and name all beneficiaries of the trust. 4  
 4. Please add google and ICIJ searches with the Spanish names of the related parties just like it has been done for research (e.g. Andrew Mark Haigh --> Andres Marcos Haigh)."8 AFC has not yet reviewed the case. Below is a list of preliminary rejection points:

1. Please rerun Research for Claire Judith COOKE and Martin CALATRAVA, as their last names were misspelled in the attached research. Also, please run research for all SoW entities (Argentine Bank + Argentine Insurance Company is missing).  
 2. Please address every party that was researched in section D (summary of negative media/court cases) even if no negative media/court cases have been found. Also, please address the negative media for Anthony Patrick Haigh in section D.  
 3. Please describe the chain from the direct owner of the account holder (Michelia Inc.) to the ultimate beneficial owner in more detail and name all beneficiaries of the trust.  
 4. Please add google and ICIJ searches with the Spanish names of the related parties just like it has been done for research (e.g. Andrew Mark Haigh --> Andres Marcos Haigh). Periodic Review 10/31/2018 5. Ready for

0  
IF(K409<>"",IF(T409=1,"High",IF(U409=1,"Moderate","Low")),"")=High  
IF(K409<>"",COUNTIF(K:K,K409),"")=1  
IF(K409<>"",SUM(B409:J409),"")=0  
IF(K409<>"",SUM(X409,A409),"")=0 WEEKNUM(0409,14)=44

WEEKNUM([@[Edit Date]],2)=44 IF(K409<>"",LEN(M409),"")=918  
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(LEN(\$L409)-LEN(SUBSTITUTE(UPPER(\$L409),UPPER(AD\$1),"")))/LEN(AD\$1)=0  
(LEN(\$L409)-LEN(SUBSTITUTE(UPPER(\$L409),UPPER(AE\$1),"")))/LEN(AE\$1)=1  
(LEN(\$L409)-LEN(SUBSTITUTE(UPPER(\$L409),UPPER(AF\$1),"")))/LEN(AF\$1)=1

0 0 0 0 0 0 0 0 0  
0 1989477 .1. Pease make Tamar and Esther the account holders-RESOLVED

- 2. Please removed Joshua as a related party role -RESOLVED
- 3. Joshua is SOW of wealth can be listed as other. -RESOLVED
- 4. Both account holders are minors, therefore, we can obtain birth certificates -RESOLVED
- 5. Please indicate from where the assets are expected to arrive from both account. -RESOLVED
- 6. Please provide CRRM risk cal and Global Print -RESOLVED
- 7. Please provide risk rating comments-RESOLVED
- 8. Please run searches for Samual Shoshan
- 9. Please run searches for National Can, Continental Can, and Container and Packaging System International

10. Please run searches for Texam International Update to KYC  
10/31/2018 4. Ready for AML & Bus. Risk Approval Vandarion Evans

Michele-M Quattrocchi 0 0  
IF(K410<>"",IF(T410=1,"High",IF(U410=1,"Moderate","Low")),"")=Low  
IF(K410<>"",COUNTIF(K:K,K410),"")=3  
IF(K410<>"",SUM(B410:J410),"")=0  
IF(K410<>"",SUM(X410,A410),"")=0 WEEKNUM(0410,14)=44

WEEKNUM([@[Edit Date]],2)=44 IF(K410<>"",LEN(M410),"")=667  
(LEN(\$L410)-LEN(SUBSTITUTE(UPPER(\$L410),UPPER(AC\$1),"")))/LEN(AC\$1)=0  
(LEN(\$L410)-LEN(SUBSTITUTE(UPPER(\$L410),UPPER(AD\$1),"")))/LEN(AD\$1)=0  
(LEN(\$L410)-LEN(SUBSTITUTE(UPPER(\$L410),UPPER(AE\$1),"")))/LEN(AE\$1)=0  
(LEN(\$L410)-LEN(SUBSTITUTE(UPPER(\$L410),UPPER(AF\$1),"")))/LEN(AF\$1)=0

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