

| Sheet1 | WM Area Client Name                              | CRDS                  | Full KYC | LE  | Risk Rating | Within Review Date (US) | With   |
|--------|--|-----------------------|----------|-----|-------------|-------------------------|--|
|        | in Review Date (UK)                              | Comments              |          |     |             |                         |  |
| ISG    | 134 West 58 Realty LLC                           | 1.013312819E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | 140-154 W 72 Realty LLC                          | 1.00933299E9          | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | 198-202 Elizabeth Street LLC                     | 1.004605944E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | 239-243-247 W 21 Realty LLC                      | 1.013291265E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | 250 E 63 Realty LLC                              | 1.013312792E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | 78/79 York Associates LLC                        | 1.000226997E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Amir Weissfisch                                  | 1.014445335E9         | No       | No  | N/A         | N/A                     | cRDS #1014445335 is for a SA with no Master KYC file   |
| ISG    | Ben Nevis Partnership SP                         | 1.01331554E9          | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | BioDuro LLC                                      | 1.013878919E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Cityview Plaza LLC                               | 1.013270819E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Crown Wateridge Associates LP                    | 1.000226959E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | David Todd Stevens                               | 1000588838/1013498819 | No       | No  | N/A         | N/A                     | cRDS #1013498819 is an Individual; cRDS #1000588838 is a SA. Neither have a Master KYC profile per dbCAR |
| ISG    | Elysee of Brickell LLC                           | 1.014183772E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Granite 1717 Hotel LLC                           | 1.013291378E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Henry Ritchotte                                  | 1.01317283E9          | No       | No  | N/A         | N/A                     | cRDS #1013172830 is an Individual; no Master KYC profile per dbCAR                                       |
| ISG    | Hialeah Fee Commons Ltd                          | 1.014977898E9         | Yes      | Yes | N/A         | No                      | Only Uk with Last Review Date 2/1/18   |
| ISG    | Inres Corporation                                | 1.003807395E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Internet Resources Management, Inc.              | 1.014183296E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Josiko Properties LLC                            | 1.008013269E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Karlin Las Palmas Subsidiary, LLC                | 1.013312774E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Karlin Real Estate 2, LLC                        | 1.015554555E9         | Yes      | Yes | N/A         | Yes                     | Only Uk with Last Review Date 4/19/18  |
| ISG    | Kassar Price 2008 Revocable Trust                | 1.013315495E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Linton Grove Holdings LLC                        | 1.013270817E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | MC2 Holdings LLC                                 | 1.013501794E9         | Yes      | Yes | N/A         | N/A                     | Full KYC profile, but no documentation or review dates   |
| ISG    | Productive Holdings S A                          | 1.014398624E9         | Yes      | Yes | High        | N/A                     | Yes Only Uk with Last Review Date 11/9/18  |
| ISG    | Raj Bhattacharyya                                | 1.013145797E9         | No       | No  | N/A         | N/A                     | cRDS #1013145497 is an Individual, but there is no Master KYC profile per dbCAR                          |
| ISG    | Red Oak Investment Fund                          | 1.016361442E9         | Yes      | Yes | High        | Yes                     | UK Last Review Date 10/29/18; US Last Review Date 10/23/18   |
| ISG    | Steven J Kassin & Isaac S Franco Jointly & Sever | 1.001234661E9         | No       | No  | N/A         | N/A                     | cRDS #1001234661 is a SA; No LE or Master KYC profile  |
| ISG    | Sunset and Doheny Property, LLC                  | 1.013315556E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | T CO Metals LLC                                  | 1.004044284E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | the James P Kellner 2008 Irrevocable Trust       | 1.013315317E9         | No       | Yes | N/A         | N/A                     | There is a LE, but no Master KYC profile per dbCAR   |
| ISG    | Third Street Mall Properties, LLC                | 1.015659265E9         | Yes      | Yes | Low         | N/A                     | Yes Only Uk with Last Review Date 5/25/18  |
| IWP    | Daniel and Suzanne Cohen                         | 1.000234458E9         | No       | Yes | N/A         | N/A                     | LE states "P WM Restricted;" Mini KYC in lieu of full with no documentation or review dates              |
| IWP    | AMZAK Capital Management LLC                     | 1.000713302E9         | Yes      | Yes | Low         | Yes                     | No Extension done in 5/2018 on US side, but UK needs remediation. UK Last Review Date 8/6/12             |
| IWP    | Armory Fund Limited                              | 1.000635214E9         | Yes      | Yes | High        | N/A                     | Yes Only Uk with Last Review Date 8/24/18  |
| IWP    | Bancard International Investment Inc             | 1.005279847E9         | Yes      | Yes | High        | N/A                     | No Only Uk with Last Review Date 3/23/17   |
| IWP    | Belford Investments                              | N/A                   | N/A      | N/A | N/A         | Not in dbCAR; NCA       |  |
| IWP    | Dakota Pacific Global Macro Fund                 | 1.01555301E9          | Yes      | Yes | Medium      | N/A                     | Yes Only Uk with Last Review Date 7/24/18  |

|     |                                    |                       |  |     |        |     |   |   |                                      |
|-----|------------------------------------|-----------------------|--|-----|--------|-----|---|---|--------------------------------------|
| IWP | Endurance Voyages LLC              | 1.008679777E9         | Yes  | Yes | Low    | No  | Yes   | UK Last Review Date   | 7/3/18; US Last Review Date 12/11/15 |
| IWP | Euro Partners Fund AG Wyser        | 1.016128204E9         | N/A  | N/A | N/A    | N/A | N/A   | Found LE by searching cRDS #. No Master KYC Profile exists per dbCAR  |                                      |
| IWP | George B Kaiser                    | 1.00058966E9          | Yes  | No  | Medium | Yes | N/A   | Individual in lieu of LE, has Full KYC profile with documents. Last Review Date 8/8/18  |                                      |
| IWP | Guy Wyser Pratte                   | 1.013145796E9         | N/A  | No  | N/A    | N/A | N/A   | Individual in lieu of LE, no Master KYC Profile exists per dbCAR  |                                      |
| IWP | Jaws Capital LP                    | 1.000289842E9         | Yes  | Yes | High   | No  | Yes   | UK Last Review Date 3/26/18; US Last Review Date 5/5/15   |                                      |
| IWP | Lepton Fund Ltd                    | 1.000365839E9         | Yes  | Yes | High   | Yes | Yes   | DE Last Review Date 3/5/19; UK Last Review Date 12/5/18; US Last Review Date 12/10/18   |                                      |
| IWP | O3 Capital Global Fund             | 1.012934358E9         | Yes  | Yes | Medium | Yes | Yes   | UK and US Last Review Date 5/17/18  |                                      |
| IWP | Parkwood LLC                       | 1.007669306E9         | Yes  | Yes | Low    | Yes | Yes   | UK Last Review Date 8/16/18; US Last Review Date 2/11/19  |                                      |
| IWP | Rentas Hay International Inc       | 1001119876/1006857986 | Yes  | No  | Low    | N/A | No  | cRDS 101119876 is a Individual; cRDS 1006857986 is a SA. The Individual has a full KYC profile but NO documents. Only UK with Last Review Date of 4/22/13 |                                      |
| IWP | Somerston Investments Limited      | 1.000227124E9         | Yes  | Yes | High   | N/A | No  | Full KYC profile, but NO documents; DE and UK Last Review Date 12/31/16   |                                      |
| IWP | The Lamia Ventures Corporation     | 1.014430782E9         | No   | Yes | N/A    | N/A | N/A   | Mini KYC profile in lieu of full with no docs and no review dates   |                                      |
| IWP | Tow, Leonard Relationship          | 1.009171312E9         | Searching dbCAR by name produced no results; searching by cRDS #1008171312 produced Equity Investments LP which Andrea already worked on and sent to Nina. |     |        |     |   |   |                                      |
| IWP | TradeInvest Financial Holdings Ltd | 1.01566581E9          | Yes  | Yes | Medium | Yes | Yes   | UK Last Review Date 5/7/18; US Last Review Date 7/24/18   |                                      |
| IWP | Vanguardia Inversiones SAS         | 1008300841/1008199869 | No   | No  | N/A    | N/A | Both cRDS #s are SA PWM US Vanguardia Inversiones SAS; No LE, no KYC profile, no documentation in dbCAR |   |                                      |
| Yes | Low                                |                       |  |     |        |     |   |   |                                      |
| No  | Medium                             |                       |  |     |        |     |   |   |                                      |
| N/A | High                               |                       |  |     |        |     |   |   |                                      |

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