

WM and GM

Onboarding Division	Account Product/Account	KYC Type	Priority	Client Name	dbCAR ID/-	Reasoning
Date Started	Target Due Date	Age	COB Contact/Rel Cor	COB		
Status	Pending With	IWP Contact	Banker	Issues/Comments		
Outstanding	Item Type	Path				
Global Markets	NCA	Inversiones Alabama Limitada	1016136898	N/-		
A	High	Aged - Needs to be finalized	1/12/2017			
3/5/2019	778	Tiele Aldridge	In Progress	AFC	Martin Zeman	Reynaldo Figueredo
			PRIORITY HIGH:	Onboarding has pending in progress of over a year, we need to finalize and conduct business.		
			1. Awaiting updated W8 from client, as of 2.21.19, client should be sending by 3.02.2019			
			2. Provided name clarification to AFC, pending final approval from AFC.Nina followed up with COB 2.21.2019, COB followed with AFC UK/US	Item		
Global Markets	Remediation	Sheffield Asset Management				
1000077095	N/A	Low	12/24/2018	4/30/2019	59	
Andrea Sandven	On Hold Client	Joshua Shoshan	Gregory J Kiesel			
			On hold until further conversation with client	Item	site4922/Lists/IWP	Americas CM Desk KYC Tracking
Global Markets	Remediation	Cantillon Capital Management LLC				
1000024165	N/A	Low	12/24/2018	4/30/2019	60	
Jamaal Bushara	On Hold Banker	Joshua Shoshan	Gregory J Kiesel			
			On hold until further conversation with client	Item	site4922/Lists/IWP	Americas CM Desk KYC Tracking
Global Markets	Remediation	Deprince, Race & Zollo	1000050019	N/-		
A	Low	12/24/2018	4/30/2019	60	Jamaal Bushara	
			On Hold Client	Martin Zeman	Gregory J Kiesel	Pending with G.K
			as of 1.16.19 client has not responded	Item	site4922/Lists/IWP	Americas CM Desk KYC Tracking
Global Markets	Remediation	Seminole Capital Partners, L.P				
1000078557	N/A	Low	12/24/2018	4/30/2019	60	
Andrea Sandven	On Hold Client	Joshua Shoshan	Gregory J Kiesel			
			Pending with G.K as of 1.16.19 client has not responded	Item	site4922/-	Lists/IWP Americas CM Desk KYC Tracking
Global Markets	NCA	Bass Brothers Taylor & Company	N/A	N/A		
Low	12/24/2018	4/30/2019	60	Yasmeen Alim	On Hold	
IWP	Joshua Shoshan	Gregory J Kiesel				
			provide BSF from	Item	site4922/Lists/IWP	Americas CM Desk KYC Tracking
Global Markets	NCA	Salient Partners	N/A	N/A	Low	
12/24/2018	4/30/2019	60	Yasmeen Alim	On Hold	COB	
Joshua Shoshan	Gregory J Kiesel					
			with client	Item	site4922/Lists/IWP	Americas CM Desk KYC Tracking
Global Markets	NCA	Black Maple Capital Partners	N/A	Fixed		
Income	High	Client interested in trading	2/8/2019			
3/15/2019	20	Jamaal Bushara	In Progress	Client	Alan	
Brody	Gregory J Kiesel		2.21.19 still awaiting client response as they are finalizing docs.			
			List of NCA requirements have been sent to client 2.8.2019.	Item		

site4922/Lists/IWP Americas CM Desk KYC Tracking
Global Markets NCA Jeffrey D. Murray Tst N/A GED High
Client interested in trading 1/11/2019 3/31/2019 48
Erik Lutkus In Progress Client;#COB Joshua Shoshan Johnathan
Hirsh 2.22.19 Davide sent additional confirmation needed from client
Client provided docs however some were incomplete. IWP to sent back to
client for completion 2.14.19. . Meanwhile COB is reviewing the rest of the
info. Item site4922/Lists/IWP Americas CM Desk KYC Tracking
Global Markets NCA Laura A. Murray Tst N/A GED High
Client interested in trading 1/11/2019 3/31/2019 48
Erik Lutkus In Progress Client;#IWP Joshua Shoshan Johnathan
Hirsh 2.22.19 Davide sent additional confirmation needed from client
Client provided docs however some were incomplete. IWP to sent back to
client for completion 2.14.19. . Meanwhile COB is reviewing the rest of the
info. Item site4922/Lists/IWP Americas CM Desk KYC Tracking
Global Markets NCA Katelyn J. Murray Tst N/A GED High
Client interested in trading 1/11/2019 3/31/2019 48
Erik Lutkus In Progress Client;#IWP Joshua Shoshan Johnathan
Hirsh 2.22.19 Davide sent additional confirmation needed from client
Client provided docs however some were incomplete. IWP to sent back to
client for completion 2.14.19. . Meanwhile COB is reviewing the rest of the
info. Item site4922/Lists/IWP Americas CM Desk KYC Tracking
Global Markets Refresh;#Extension Equity Investments LP
1009171312 OTC Rates Medium 1/16/2019 3/15/2019
37 Andrea Sandven In Progress Client Alan Brody Sean
Jules Pending with client. Nina - IWP to follow up with Banker
2.22.2019 Item site4922/Lists/IWP Americas CM Desk KYC Tracking
Wealth Management NCA Fairview Capital N/A Brokerage
Account Low 6/1/2018 6/1/2019 272 Dana Zook
In Progress Client;#Banker Joshua Shoshan Gregory J Kiesel
2.28.2019 Janet said: waiting on the client to sign the LLC Authorization
stating the signers of the entity. Liam O'Sullivan requested this on
December 5th. Liam, Greg Kiesel and Josh Shoshan have been following up with
the client with no success. Greg is planning a trip to visit them to see if
this relationship will work out.

2.27.2019 Nina sent follow up to Janet
Awaiting a document showing percent ownership of Fairview. Reached out to
Fairview on 1/10/19. Banker needs to follow up with client. Item
site4922/Lists/IWP Americas CM Desk KYC Tracking
Wealth Management NCA Walleye N/A Brokerage Account
Low 11/1/2018 4/15/2019 119 Janet Sible In
Progress Banker Joshua Shoshan Gregory J Kiesel 2.27.2019
Nina sent follow up to Janet
Pending with KYC - Client responded 12/18/18 without all of the information
DB requested for WM KYC. Brokerage not started. Client responded with
additional information 01/31/2019. Will need to go back to client when KYC
is reviewed with KYC fixes and brokerage documents. 02/28/2019 - Josh met
with Larry Hurvich from Walleye today and discussed the outstanding requests
fro the account on-boarding, both WM KYC and brokerage. Item site4922/-
Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Jon Gruber IRA N/A Brokerage
Account High Client interested in trading 12/15/2018
2/28/2019 76 Payal Gupta In Progress Banker;#COB
Alan Brody Wendy McMillan 2.27.2019 Payal said KYC is complete. 2/3
accounts are open. 1 pending
2.27.2019 Nina sent a follow up to Payal

Client has received all paperwork and is in process of filling out. Liam spoke with Wendy and they are working on the KYC. When the KYC is approved we will work with her team on the brokerage/kcp documents.

-John and Linda Gruber Tst

-Gruber Foundation

-Options

-SP, WM KYC completed 02.13.2019. Brokerage documents are with IWP
Incomplete documents have been sent to banking team 2.15.2019. Three
accounts: 2 with Account Opening Team. 1 with Banker to amend KYC. 2
accounts opened -GRUBER FAMILY FOUNDATION QJ8001613 and JON D AND LINDA W
GRUBER TRUST QJ8001621 as of 02/28 Item site4922/Lists/IWP

Americas CM Desk KYC Tracking

Wealth Management NCA Jerry Weintraub N/A Brokerage
Account Medium 12/15/2018 4/15/2019 74 Payal Gupta
In Progress Banker Alan Brody Jake Block 2.27.2019 Paya
said waiting on docs from client, they should have 2.28.2019 from client

2.27.2019 Nina sent a follow up to Payal

Banker needs to follow-up. Alan & Jake spoke with Nancy at Jerry's office
01/09/2019 Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Steve Massman N/A Brokerage
Account Medium 1/2/2019 4/15/2019 56 Melissa Clark
In Progress Client;#Banker Alan Brody Richard Aguiar 2.27.2019
Richard Aguiar will reach out to client this week

2.27.2019 Nina followed up with Melissa

Client KYC moving slowly due to client concerns over how much information is
being requested. Rich and team (Payal & Israel) were to reach out to client
w/o 12/31/18. Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Fox Growth Fund Inc. N/A Brokerage
Account Medium 11/15/2018 3/8/2019 105 Briana
Gargurevich In Progress Client Martin Zeman Roberto Teofilo
2.28.2019 NAO was submitted, pending with client for more info.

2.27.2019 Briana said KYC was completed 9/27/2018, so Nina followed up
with Liam on account opening.

2.27.2019 Nina sent follow up to Briana

Had call with client on 2/1/2019 to discuss missing documentation to move
forward with account opening, but have not heard back. Client returned
missing documents 2/14. Case is being built in NAO by IWP. Document review
has resulted in the need for an updated form. Sent to client on
02/26/19. Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Hall Group N/A Brokerage
Account Low 11/29/2018 90 Not Yet Started Banker Alan

Brody Sean Jules 2.22.2019 From banker: Client has possession of paperwork. He is following up regularly.

2.22.2019 Nina - IWP to follow up with Bank
IWP has reached out to banker on multiple occasions for an updated status. Sean is working with client to determine what entity they want to open - they have existing WM kyc for certain entities. Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Harold Ripps	N/A	Brokerage
Account Low	10/15/2018	135	Not Yet Started	Banker Alan

Brody Mark Gonzalez 2.22.2019 - Banker said Alan should have an update 2.22.2019- Nina - IWP to follow up with Bank
Banker has not contacted client. Brian Murphy emailed 10/19/18 (Ripps & Time Inc.) - Alan assigned to Mark Gonzales Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Abe Mitchell	N/A	Brokerage
Account Low	10/19/2018	126	In Progress	Banker Alan

Brody Mark Gonzalez Banker has not contacted client. Brian Murphy emailed 10/19/18. - Alan assigned to Mark Gonzales.
Nina - IWP to follow up with Bank (2.22.2019) Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	L2 Capital	N/A	Brokerage
Account High	Client interested in trading		1/1/2019	
2/28/2019	58	Valerie OConnor	In Progress	COB Joshua

Shoshan Michael King DB Documents and SOW narrative received from client 01/31/2019. Incomplete, will be reviewed and we will go back to client. KYC completed 2.7.2019 NAO case has been submitted. Documents under review by BSO 2/15 Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Oasis Capital	N/A	Brokerage
Account High	Client interested in trading		1/1/2019	
2/28/2019	58	Valerie OConnor	In Progress	COB Joshua

Shoshan Michael King DB Documents and SOW narrative received from client 01.31.2019. Incomplete, will be reviewed and we will go back to client. KYC completed 2.7.2019. NAO case has been submitted. Documents under review by BSO 2.15.2019 Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Map Investco	N/A	Brokerage
Account Low	12/6/2018	4/30/2019	83	Payal Gupta

In Progress Client Alan Brody Jake Block 2.27.2019 Nina sent a follow up to Payal

Banker followed-up Jan 22, waiting on client Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets Remediation	Lynrock Lake	1016083002	N/A
Medium 2/13/2019	3/31/2019	9	Jamaal Bushara In

Progress IWP Alan Brody Gregory J Kiesel COB sent list of requirements 2.15.2019. IWP reviewing prior to sending to client Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Detroit Street	N/A	Brokerage
Account Low	1/23/2019	4/30/2019	36	Henry Clark

Not Yet Started Banker Alan Brody Gregory J Kiesel 2.27.2019 Henry said they have followed up multiple time, no response from client.

2.27.2019 Nina followed up with Henry

2.22.2019 Alan said not to send follow up yet

Banker needs to initiate the KYC/account opening process. Item
 site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Alpha Group Capital	N/A	Brokerage
Account Low	2/8/2019	4/30/2019	14	Rachel Wachs
On Hold Banker	Alan Brody	Stewart Oldfield		2.22.2019 Alan

said to put on hold

KYC is with the banker, needs to confirm no involvement with Epstein.

Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets	NCA	Fox Growth Fund Inc.	N/A	FX	Medium
2/1/2019	5/1/2019	21	Jamaal Bushara	In Progress	
Client	Martin Zeman	Roberto Teofilo	NCA list sent to client, waiting on client to respond 2.01.2019 - Liam spoke to them 2.21.19 - they should send by end of week	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Hallador	N/A	Brokerage	
Account Low	2/1/2019	4/30/2019	21	Not Yet Started	
Banker	Alan Brody	Anthony Scotti	2.22.2019 Alan spoke with Banker, client has been giving run-around	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking

Scotti, banker needs to start KYC/account opening process. Item

Global Markets	Refresh;#Extension	DA Capital LLC	1000851282	
Fixed Income	Medium	2/13/2019	3/15/2019	9 Yasmeen
Alim	In Progress	Client;#IWP	Alan Brody	Terri Sohrab

COB sent list of requirements 2.15.2019. IWP reviewing prior to sending with client. Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets	NCA	DA Brazil (Fund)	N/A	Fixed Income	
Low	2/13/2019	4/30/2019	9	Yasmeen Alim	Not Yet Started
COB	Alan Brody	Terri Sohrab	Need list from COB. DA Capital LLC=IM	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets	Refresh;#Extension	Staple Street Global Opportunities (Master) L.P	1007957018	Possibly - Credit Derivatives, FX rates		
Medium	2/13/2019	3/15/2019	9	Yasmeen Alim	In Progress	
COB. Sent ask 2.13.19. Need to specify extension product, but just refresh for now. DA Capital LLC=Investment Manager	IWP	Alan Brody	Terri Sohrab	Need list from COB. Sent ask 2.13.19. Need to specify extension product, but just refresh for now. DA Capital LLC=Investment Manager	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	NCA	Hartz Capital	N/A	Brokerage
Account Low	2/5/2019	4/30/2019	23	Natalie Barak
Not Yet Started Client	Alan Brody	Mary A Coleman	2.28.2019 Natalie said docs were sent to client 2/8, client is working on them. She will follow up	

2.27.2019 Nina sent a follow up to banker

Banker needs to initiate KYC renewal Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management	Refresh	Stillwater	N/A	Brokerage
Account Low	2/6/2019	3/8/2019	21	Not Yet Started
IWP	Alan Brody	Mary A Coleman	2.27.2019 Nina sent follow up to Matt G	

IWP to request confirmations on 3rd EU Recertification to cleint to confirm

(Matt G to send by Feb 28th) Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets Remediation W De Argentina Inversiones S.A
 1007979444 N/A Medium 2/13/2019 3/15/2019 9
 Andrea Sandven In Progress IWP Billy Obregon Need to remediate.
 Need list from COB. Sent ask 2.13.19

Gabriel Micheletti <gabriel.micheletti@db.com> BANKER Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets NCA DA Venezuela (Fund) N/A Fixed Income
 Low 2/13/2019 4/30/2019 9 Yasmeen Alim Not Yet
 Started COB Alan Brody Terri Sohrab DA Capital LLC=IM
 Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Glovax Biotech LLC. N/A Brokerage
 Account Low 2/7/2019 3/15/2019 15 Joshua Hincapie
 In Progress COB Billy Obregon Sven-Otto Westphalen KYC
 Completed. FAA has been submitted for the brokerage accounts (2) 02/13,.
 When FAA apporved NAO for brokerage account will be submitted. Item
 site4922/Lists/IWP Americas CM Desk KYC Tracking

Wealth Management NCA Spartan Fund Management Inc. N/A
 Brokerage Account Low 2/6/2019 4/15/2019 22
 Henry Clark In Progress Client;#Banker Joshua Shoshan Henry
 Clark 2.27.2019 Henry said they have followed up multiple time, no
 response from client.

2.27.2019 Nina followed up with Henry
 Banking team is working with client to gather on-boarding documents/
 information. Canadian Anti-Spam Law letter signed 2/6/2019. Item
 site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets Remediation Willett Advisors LLC 1003437027 N/-
 A High Project Mercury - Tight Deadline 2/20/2019
 4/15/2019 9 Mallisa Stokes In Progress IWP Martin
 Zeman Stewart Oldfield Due to Project Mercury Spring list, due by
 4.15.2019

Pending with COB as of 2.20.19 to provide list of requirements Item
 site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets Remediation MONEX INVERSIONES SA 1001261818_US/-
 GB N/A High Project Mercury - Tight Deadline
 2/20/2019 4/15/2019 9 Jamaal Bushara In Progress
 Banker Martin Zeman Reynaldo Figueredo 3.01.2019 Nina sent
 requirements to banker

Due to Project Mercury Spring list, due by 4.15.2019

Amending ISDA. Awaiting lis from COB Item site4922/Lists/IWP
 Americas CM Desk KYC Tracking

Wealth Management NCA Endurance Voyages PE Holdings LLC N/-
 A Brokerage Account Medium 2/12/2019 3/15/2019
 16 Janet Sible In Progress COB Joshua Shoshan Michael
 King 2.28.2019 Janet said: KYC was in the system but rejected with no
 major issues. She will resubmit tomorrow, 03.01.2019

2.27.2019 Nina sent follow up to Janet
WM KYC has been submitted and awaiting approval. We have received brokerage documents back from client. Item site4922/Lists/IWP Americas CM Desk KYC Tracking

Global Markets	Remediation	Daniel and Suzanne Cohen			
1000234458	N/A	Medium	2/27/2019	4/30/2019	1
Not Yet Started	COB	Joshua Shoshan	Dan Gray	From BREXIT	
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	Belford Investments	N/A	Medium	
2/27/2019	4/30/2019	0	Not Yet Started	COB	Billy
Obregon Mauricio Pretelt	From BREXIT List	Item	site4922/-		
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	Euro Partners Fund	1016128204	N/-	
A	Medium	2/27/2019	4/30/2019	1	Not Yet Started
COB	Joshua Shoshan	Chris Maxmin	From BREXIT List	Item	
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	Guy Wyser Pratte	1013145796	N/-	
A	Medium	2/27/2019	4/30/2019	1	Not Yet Started
COB	Joshua Shoshan	Chris Maxmin	From BREXIT List	Item	
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	The Lamia Ventures Corporation			
1014430782	N/A	Medium	2/27/2019	4/30/2019	0
Not Yet Started	COB	Billy Obregon	Mauricio Pretelt	From	
BREXIT List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	Vanguardia Inversiones SAS			
1008199869/1008300941	N/A	Medium	2/27/2019	4/30/2019	
0	Not Yet Started	COB	Billy Obregon	Eduardo Pieta	From
BREXIT List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	140-154 W 72 Realty LLC	1009332990	N/-	
A	Medium	2/27/2019	5/31/2019	0	Not Yet Started
COB	Bill King	Joanne Jensen	BILL KING RESPONSIBLE	:From BREXIT	
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	198-202 Elizabeth Street LLC			
1004605944	N/A	Medium	2/27/2019	5/31/2019	0
Not Yet Started	COB	Bill King	Joanne Jensen	BILL KING	
RESPONSIBLE	:From BREXIT List	Item	site4922/Lists/IWP Americas CM		
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	239-243-247 W 21 Realty LLC			
1013291265	N/A	Medium	2/27/2019	5/31/2019	0
Not Yet Started	COB	Bill King	Joanne Jensen	BILL KING	
RESPONSIBLE	:From BREXIT List	Item	site4922/Lists/IWP Americas CM		
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	BioDuro LLC	1013878919	N/A	
Medium	2/27/2019	5/31/2019	0	Not Yet Started	COB
Bill King	Anthony Scotti	BILL KING RESPONSIBLE	:From BREXIT List		
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	250 E 63 Realty LLC	1013312792	N/-	
A	Medium	2/27/2019	5/31/2019	0	Not Yet Started
COB	Bill King	Joanne Jensen	BILL KING RESPONSIBLE	:From BREXIT	
List	Item	site4922/Lists/IWP Americas CM Desk KYC Tracking			
Global Markets	Remediation	David Todd Stevens	1013498819	N/-	

A Medium 2/27/2019 5/31/2019 0 Not Yet Started
 COB Bill King Brian P Convey BILL KING RESPONSIBLE :From BREXIT
 List Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation Elysee of Brickell LLC 1014183772 N/-
 A Medium 2/27/2019 5/31/2019 0 Not Yet Started
 COB Bill King Rachel Maglicic BILL KING RESPONSIBLE :From BREXIT
 List Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation Granite 1717 Hotel 1013291378 N/-
 A Medium 2/27/2019 5/31/2019 0 Not Yet Started
 COB Bill King Joseph Sabbagh BILL KING RESPONSIBLE :From BREXIT
 List Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation Internet Resources Management INC
 1014183296 N/A Medium 2/27/2019 5/31/2019 0
 Not Yet Started COB Bill King BILL KING RESPONSIBLE :From BREXIT
 List Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation MC2 Holdings LLC 1013501794 N/-
 A Medium 2/27/2019 5/31/2019 0 Not Yet Started
 COB Bill King Freddy Menjivar BILL KING RESPONSIBLE :From BREXIT
 List Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation Steven J Kassin and Isaac S Franco Jointly
 & Sever 1001234661 N/A Medium 2/27/2019 5/31/2019
 0 Not Yet Started COB Bill King Rosemary Vrablic
 BILL KING RESPONSIBLE :From BREXIT List Item site4922/Lists/IWP
 Americas CM Desk KYC Tracking
 Global Markets Remediation Sunset and Dohney Property LLC N/A
 Medium 2/27/2019 5/31/2019 0 Not Yet Started COB
 Bill King Deirdre Judge BILL KING RESPONSIBLE :From BREXIT List
 Item site4922/Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Remediation MANTIQUEIRA OVERSEAS FUND LTD
 1009965413 N/A High Project Mercury - Tight Deadline
 2/28/2019 4/15/2019 0 Andrea Sandven In Progress
 Banker Billy Obregon Eva Pace 2.28.2019 Nina sent list of
 requirements to Billy
 Due to Project Mercury Spring list, due by 4.15.2019 Item site4922/-
 Lists/IWP Americas CM Desk KYC Tracking
 Global Markets Refresh Ultralat capital markets 1000048597 N/-
 A Low 3/4/2019 5/31/2019 -4 Not Yet Started
 COB Billy Obregon Rachel Maglicic Item site4922/Lists/IWP
 Americas CM Desk KYC Tracking
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