

Stew Oldfield

NOTES	Opportunity Name	Opportunity Owner	Location	Customer Name	Close Date			
Validity	Month	Probability (%)	Stage	Product Name	Product Type	Product category		
Actual Assets	Recurring Fee	Structure	BPS/Flat	Fee Amount (\$)	Actual Revenue	Zero Revenue	Oppo	
rtunity Sales Datamart: Opportunity Sales Datamart Name Present								
fee to be split w/ IB and paid over time								
York	ORIX Corporation	12/31/2016	Valid	December-16	90	Active	Private Equi	
ty Funds	Capital Markets	Investments	400000000	BPS	150	6000000	124783	Y
Commerical R.E.	Stewart Oldfield	New York	54	Madison Partners	3/15/2017	Valid	50000000	
d	March-17	50	Proposal	Commercial Real Estate	Lending	Lending	50000000	
BPS	300	1500000	125463	Y				
Line of Credit	Stewart Oldfield	New York	ORIX Americas	3/15/2017	Valid	Marc		
h-17	25	Proposal	U.S. Letter of Credit	Lending	Lending	100000000	BPS	200
2000000	123599	Y						
Leveraged Loan/Real Estate	Lending	Stewart Oldfield	New York	Third Lake Capital				
3/15/2017	Valid	March-17	25	Proposal	Commercial Real Estate	Lending	Lend	
ing	50000000	BPS	300	1500000	122865	Y		
Structured Credit	Stewart Oldfield	New York	Vaid, Rahul	12/31/2016	Valid			
d	December-16	0	Proposal	U.S. Secured Lending (Lombard)	Lending	Lending	5000	
0000	BPS	300	1500000	124762	Y			
KCP Private Markets	Stewart Oldfield	New York	Third Lake Capital	12/31/2016	Valid			
Valid	December-16	50	Proposal	Private Equity Funds	Capital Markets	Investments		
25000000	BPS	300	750000	124812	Y			
Brokerage	Stewart Oldfield	New York	Black, Leon D.	12/31/2016	Valid	Dece		
mber-16	0	Proposal	Private Wealth Premium	Checking Deposits	Deposits	5000		
0000	BPS	50	250000	119351	Y			
Brokerage	Stewart Oldfield	New York	The National Organization of the New Apostol					
ic Church of North America	3/15/2017	Valid	March-17	50	Proposal	Brok		
erage (Commissions)	Brokerage	Investments	10000000	BPS	100	100000	1248	
09	Y							
Additional Banking	Stewart Oldfield	New York	Southern Financial LLC	12/31/2016	Valid			
Valid	December-16	50	Proposal	Private Wealth Premium	Checking w/Interest	Depo		
sits	Deposits	50000000	BPS	20	100000	124811	Y	
CLO	Stewart Oldfield	New York	Falcon Trail Capital, LLC	3/15/2017	Valid			
d	March-17	50	Proposal	Derivatives (Equity - Swap)	Capital Markets	Inve		
stments	5000000	BPS	200	100000	114817	Y		
Confidential								