

Sheet2

Annual Client Update: ID	Customer Number	Customer Name	Primary Officer	Relationship	Meet
ing/Call Date	Material Changes	A15. Client Status	Update Description	Days Overdue	MSR
Bank Silos	COMMENTS				
Landis, Betsy M.	Liz Payne	LANDIS, DONALD	RELATIONSHIP	11/6	
/2014 Client passed away on 8/24/14. Account has been placed on Caution. Client passed away on 8/24/14. Account placed on Caution. 207					
Jacoby New York	COVER-AGE-Domestic	AML to Close - KYC Approved #1343368	Closed		
Landis, Donald M.	Liz Payne	LANDIS, DONALD	RELATIONSHIP	10/3	
/2014 Donald Landis passed away on 8/24/14. Cautions have been placed on his accounts with us. We are awaiting Letters Testamentary, etc. on this account from his wife, Betsy Landis. Client passed away on 8/24/14. 241					
Jacoby New York	COVER-AGE-Domestic	AML to Close - KYC Approved #1343368	Closed		
Wilner Esq., Diane S.	Liz Payne	WILNER, DIANE S	RELATIONSHIP	3/2/	
2015 Income producing activities have not changed Client wants to close account so no future transactions should occur. We need this account to be reactivated so that we can close it 91					
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVER-AGE-Domestic	AML to Close - No Material Change - Client is Inactive	Closed	
Marriott III, John W.	Brian Convey	MARRIOTT, JOHN W	RELATIONSHIP	2/4/	
2015 There are no recent changes to his employment status or health. Mr. Marriott recently provided account opening documents with a different address than previously recorded. 117					
Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVER-AGE-Domestic	AML to Close - No Material Change	Closed	
Edward Torres Management Trust f/b/o Lara Torres	Terrence Tangney				
TORRES, E RELATIONSHIP	3/11/2014	none	DBTCNA has been removed as trustee by the trust protector and replaced by Wells Fargo. 447		
Jacoby New York	COVER-AGE-Domestic	AML to Close - Account closed	Closed		
Arnaw, Joshua	Terrence Tangney	WEILER/ARNOW	RELATIONSHIP	2/12	
/2015 Terrence had a meeting today at the Weiler Arnaw office. We are opening a 2 new accounts for Josh Arnaw due a recent fraud attempt. 109					
Michael Jacoby New York	COVER-AGE-Domestic	AML to Close - No Material Change	Closed		
Reist, Derrick	Kim Hart	REIST, J&L	RELATIONSHIP	4/28/2015	Plea
see see ACU comment There is no contact with this client. He is a "mutual fund only" client with no open Private Bank accounts. The mutual fund account is associated with a "dealer code" that associates it to the Private Bank. We are trying to get the account coded correctly. In the meantime, there has been no account activity. The client has \$18.43 invested in the ICT Treasury Portfolio. 34					
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVER-AGE-Domestic	AML to Close - No Material Changes	Closed	
Burton, Katherine	Kim Hart	BURTON, KATE	RELATIONSHIP	4/28	
/2015 Please see ACU comment There is no contact with this client. She is a "mutual fund only" client with no open Private Bank accounts. The mutual fund account is associated with a "dealer code" that associates it to the Private Bank. We are trying to get the account coded correctly. In the meantime, there has been no account activity. The client has \$77.19 invested in the ICT Treasury Portfolio. 34					
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVER-AGE-Domestic	AML to Close - No Material Changes	Closed	
Chiappina, Federico	Josie Alonso	CHIAPPINA, FEDERICO	RELATIONSHIP		
2/9/2015 Mr. Federico Chiappina's income derived from savings, and investments. Mr. Federico Chiappina passed away on January 21, 2015. 112					
COVER-AGE-LATAM	AML to Close - KYC Approved #1366843	Closed			
I-Joen Beer Separate Property Trust	Carolyn Botzenhard	BEER LIVING			
TRUST RELATIONSHIP	2/27/2015	2/27/2015 - Telephone call to confirm address change	Mr. Beer's wealth is solely derived from the sale of his shares of Infox GmbH (https://www.infox.de/public/ueberinfox.aspx) which he and a few private investors and company executives acquired via a leveraged buy-out in 1995. The funds for his participation in LBO transaction were provided by a loan from the founders of Infox, a loan from his parents and his own personal savings. They then sold the company to Europe Capital Partners (a private equity firm) in 1997 whereby he increased his stake in Co. from 8% to 21% . Then in 2000 the company was sold again to Societe Generale Pvt. Equity where he received \$15MM for his shares of the company. Before joining Infox Mr. Beer was CEO of a tour operator called Berge & Meer. The company belonged to the Metro Group at the time and is now part of the TUI group. Berge & Meer is one of the biggest tour operators in Germany. Before that he spent 5 years with Lufthansa Airlines, initially as a management trainee and then responsible for the entire domestic German point to point air-traffic. He holds a Dipl.Kfm degree from Johann W. Goethe University in Frankfurt. He is currently President & CEO of IMC Interamerican Motors. IMC is a leading distributor of OE quality parts for automobiles based in Canoga Park, CA. He earns a salary/ bonus of approximately \$1MM per annum, but his compensation does not contribute 25% or more to his net-worth. no material changes address change 94		
Los Angeles	COVER-AGE-Domestic	AML to Close - No Material Changes	Please provide both addresses (prior and current)		
Beer Living Trust	Carolyn Botzenhard	BEER LIVING TRUST	RELATIONSHIP		
IP	2/27/2015	2/27/15 - Spoke to client to confirm address change. No material source of wealth changes. Assets are held in an investment account under the Beer Living Trust. Approximate value \$7.25MM USD (held in bot EUR and USD).	Change of address. 94		
Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	Los Angeles	COVER-AGE-Domestic	AML to Close - No Material Changes	Please provide both addresses (prior and current)	
Allen, Paul Gardner	Russell Daulton	ALLEN, PAUL GARDNER	RELATIONSHIP		
11/5/2014 Elizabeth Joy has left Vulcan and been replaced by Russell Paquette. We are currently working on updating all accounts to reflect those changes. We also spoke about the Dodd - Frank rules that give Mr. Allen the option to segregate collateral on SWAPS. Russell is looking forward to s					

eeing us the next time we are in Seattle. Elizabeth Joy has left Vulcan, replaced by Russell P
 aquette. They are working on redocumenting all their accounts at which point we will update the KYC
 with new parties. 208 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby San
 Francisco COVERAGE-Domestic AML to Close - KYC Approved #1344477 closed

[REDACTED] Walter Living Trust Russell Daulton WALTER, RON RELATIONSHIP 4/14
 /2015 Client has moved all assets out of the bank. Only remaining asset is in Private Equity and
 can not be moved. Client is not responding to voice and email messages left by banker. Client has m
 oved all assets out of the bank. Only remaining asset is in Private Equity and can not be moved. Cl
 ient is not responding to voice and email messages left by banker. 48 Kim Hart, Andrew Gal
 ivan, Michael J. Davis, Michael Jacoby San Francisco COVERAGE-Domestic AML to Close - No Ma
 terial Changes closed

[REDACTED] Kubali-Camoglu, Ishik Andrea Nicoletti CAMOGLU, ISIK RELATIONSHIP
 5/27/2014 No material changes. Client is deceased 370 Kim Hart, Andrew Galivan, Mi
 chael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - No Material C
 hanges KYC update is required to open an estate account.

[REDACTED] Kubali-Camoglu, Ishik Andrea Nicoletti CAMOGLU, ISIK RELATIONSHIP
 3/17/2015 No material changes. Client is deceased 76 Kim Hart, Andrew Galivan, Mi
 chael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - No Material C
 hanges KYC update is required to open an estate account.

57425 00000243895 Haesemeyer, Craig Michael E. McCarthy HAESEMEYER, CRAIG RELATIONSH
 IP 7/17/2013 On July 17, 2013, Mike McCarthy and Janet Sible spoke with Wendy to review t
 he outstanding documents needed to create an estate account. Craig Haesemeyer is deceased. New ac
 count in the name of The Estate of Craig Haesemeyer needs to be created as soon as necessary documen
 ts are provided. 684 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New
 York COVERAGE-Domestic AML to Close - the "Active Accounts" are Private equity accounts onl
 y. The primary acct has been closed but the account remains "open" for revenue trailers. ACU
 57425 is regarding creating a new estate account. Please provide the KYC number to open an estate a
 ccount

[REDACTED] Haesemeyer, Craig Michael E. McCarthy HAESEMEYER, CRAIG RELATIONSH
 IP 10/7/2013 Client held two private equity funds which are reflected in the client's DB
 Alex Brown account. Craig Haesemeyer has passed away. Estate account [REDACTED] has been establi
 shed and assets have been transferred to the new account, 602 Kim Hart, Andrew Galivan, Mi
 chael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - the "Active A
 ccounts" are Private equity accounts only. The primary acct has been closed but the account remains
 "open" for revenue trailers. Please make notification in the system that the reason for not conta
 cting the client is that the client only holds private equity finds.

[REDACTED] Haesemeyer, Craig Michael E. McCarthy HAESEMEYER, CRAIG RELATIONSH
 IP 11/2/2012 Marci & Brett met with Craig's widow, Wendy Haesemeyer, to see if we could b
 e of assistance and she was not ready to move forward with a trust and she was still pretty shell-sh
 ocked about the unexpected death of her husband. Mike McCarthy had an appointment to meet with Wendy
 in March and flew to Los Angeles before heading to another meeting in San Francisco. Mrs Haesemeyer
 cancelled their appointment when he reached the airport in LA. Craig Haesemeyer has passed away.
 941 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Dom
 estic AML to Close - the "Active Accounts" are Private equity accounts only. The primary acct has
 been closed but the account remains "open" for revenue trailers. Please make notification in
 the system that the reason for not contacting the client is that the client only holds private equit
 y finds.

[REDACTED] Pacific Health Corporation Malcolm Kimble PACIFIC HEALTH RELATIONSHIP
 1/30/2015 We are unable to contact the client as this company no longer exists. This company
 is no longer in existance. The funds in their accounts were used to pay down a loan of credit, and
 \$117.04 is left in the account. We do not know where to remit these funds. 122 Kim Hart, An
 drew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close
 Closed

[REDACTED] Barbara F Dorsey Trust Janice Smith DORSEY, BARBARA F RELATIONSHIP 3/24
 /2015 none none 69 Andrew Gallivan TRUST TRUST AML to Close - No Material Changes
 Closed

[REDACTED] Deccan Value Investors BPI Fund LP Mary Ann Coleman DECCAN RELAT
 IONSHIP 12/3/2014 No changes to the investment guidelines and income is generated through the
 management fees. Aside from removing one authorized signatory and adding one for all of the Deccan f
 unds, there are no material changes to make note of. We are in the process of updating the list o
 f authorized signatories for all of the Deccan funds. One name has been removed and one name is bein
 g added. 180 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
 COVERAGE-Domestic AML to Close - KYC Done #01388386 Closed

[REDACTED] Nina Fund LP Mary Ann Coleman HARKIN RELATIONSHIP 1/16/2015
 No material changes l be performed 136 Office address changed to 475 Park Avenue South NY NY 10016 A KYC update wil
 COVERAGE-Domestic Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
 ent AML to Close - KYC Approved # 01385526 The approved KYC is not for this cli

[REDACTED] DVI Fund (Mauritius) Ltd. Mary Ann Coleman DECCAN RELATIONSHIP
 11/25/2014 No material changes Remove signatory George Ho and add Signatory Josh Duhl 188
 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic
 AML to Close - KYC Done #01388617 Closed

[REDACTED] Deccan Value Investors LP Mary Ann Coleman DECCAN RELATIONSHIP
 1/8/2015 Investable assets are reflected in the custody account held here at DB. No material
 changes to report. George Ho is no longer a limited partner. New limited partners have been add
 ed and a KYC update is in process. 144 Kim Hart, Andrew Galivan, Michael J. Davis, Michael
 Jacoby New York COVERAGE-Domestic AML to Close - KYC Approved #1381690 Closed

[REDACTED] Humility Ltd. Mary Ann Coleman TEMPLETON, JOHN RELATIONSHIP 2/19
 /2015 no material changes; current AUM \$378,000,000 additional signer being added via KYC 135038

8	102	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York	COVE
RAGE-Domestic	AML to Close - KYC Approved #1350388	Closed		
	Templeton World Charity Foundation, Inc.	Mary Ann Coleman	TEMP	
LETON, JOHN	RELATIONSHIP	1/9/2015	Income is generated through the actively managed investment portfolios held by the Templeton organization. The Foundation maintains a small custody account at DB.	
	The entity changed its name from Templeton World Charity Foundation to Templeton World Charity Foundation, Inc. A KYC update will be completed promptly.	143	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Approved #1350388	KYC update has not been done.	
	Computershare Inc	Theresa Romano	COMPUTERSHARE INC RELATIONSHIP	6/13
/2013	client has added 5 new authorized parties to the account as per company changes.			client
nt has added 5 new authorized parties to the account as per company changes.		718	Charlie Hoffarth, Charlie Burrows, Daphne Cales	
	BANKING BANKING	AML to Close - Approved KYC #1281880		1281
880 is a closed KYC				
	Madeleine Hilton McGraw Revocable Trust	Michael Mullin	MCGRAW, D&A RELATIONSHIP	
SHIP	5/21/2015	Maddie currently makes \$13 an hour. She has just over 500k with us and is considering taking a small monthly distribution to help with her living expenses, probably between \$1,000 and \$1,500 a month. She is also currently in the process of moving to a new apartment.		No m
	aterial changes at the moment.	11	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - No Material Changes	Closed	
	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
HIP	7/2/2013	Carolyn Rowland died on 5/15/12.	Carolyn Rowland died on 5/15/12.	Tru
st is terminating.		699	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Approved #1366893	closed	
	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
HIP	5/15/2012	Client died on 5/15/12. Account is terminating.	Client died on 5/15/12.	Acco
nt is terminating.		1112	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Approved #1366893	Closed	
	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
HIP	6/27/2014	Carolyn Rowland died on 5/15/12.	Carolyn Rowland died on 5/15/12.	Tru
st is terminating.		339	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Approved #1366893	Closed	
	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
HIP	5/15/2012	Carolyn Rowland died on 5/15/2012. Trust is terminating.	Carolyn Rowland died on 5/15/2012. Trust is terminating.	1112
and died on 5/15/2012. Trust is terminating.			Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Approved #1366893	Closed	
	CAROLYN C ROWLAND TRUST #2	Terri Sohrab	CROSSETT, EDWARD C RELATIONS	
HIP	6/27/2014	Carolyn Rowland died on 5/15/12.	Carolyn Rowland died on 5/15/12.	Tru
st is terminating.		339	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - KYC Done #1366893	Closed	
	Parker, Kevin	Brian Burckhard	PARKER, KEVIN RELATIONSHIP	3/31/2015
The Client derives his income from private instruments, art, real estate and his daily responsibilities at SICM & KNIC	N/A	62	Charlie Hoffarth, Sarita Medina, Liz Fitzgerald	STRUCTURED L
ENDING LENDING	AML to Close - No material changes		The ACU says client's primary occupation changed. Why is that not a material change?	
	Mortreux, Augustin	Reynaldo Figueredo	BISCAYNE CAPITAL SA RELATIONSHIP	
SHIP	3/6/2015	Mrs. Mortereux lives in Washington DC. She is thinking what to do now that she's a widow. She might remain in DC and invest in local Real Estate opportunities. We went over all the needed information to set the new account from joint to single tenant.	Agustin Mortereux passed away December 12 2014.	87
	COVERED-Domestic	AML to Close - KYC Approved #1367382	closed	
	Ornatus Taiwan LTD	Daphne Cales	DEPRENDA, MICHAEL RELATIONSHIP	12/2
9/2014	All income remains the same, proceeds from his business.		Street address of the account has changed to: 3F, No. 97 Dunhua S. Rd, Sec.2 Taipei City 106 TAIWAN	154
	BANKING BANKING	AML to Close - No Material Change	Please confirm that the country of the address did not change.	
	Taylor, Lynda Benvenuti	Ed Lok	TAYLOR, LYNDA BENVENUTI RELATIONSHIP	5/16
/2015	5-27-15: There are no sig updates. Lynda recently invested \$500K in BTAS (from funds that we re already at DB).	16	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	
San Francisco	COVERED-Domestic	AML to Close - No Material Changes	Closed	
	Weisel, Thomas	Ed Lok	WEISEL, THOMAS RELATIONSHIP	3/30/2015
15, No significant changes or updates	There are no material changes to report. Mr. Weisel's net worth has remained constant over the past few years. He is working to pay off debt and maintain liquidity.			4-2-
y.	8-12-13: There is negative media surrounding Lance Armstrong and Thomas Weisel's sponsorship company, Trail Wind. Investigation is ongoing with the civil suit.	63	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	San Francisco
	COVERED-Domestic	AML to Close - No Material Changes	Closed	
	Bern, Marc, J	Joanne Jensen	BERN, MARC. J RELATIONSHIP	3/6/2015
Bankers Joanne Jensen, Jennifer Shaw and team keep in regular contact with Marc Bern. To our knowledge he is satisfied with his relationship with DB. Client Marc Bern is a Senior Partner at Napoli, Bern, Ripka LLC, a nationally known plaintiff's law firm. To our knowledge, the claims against DB are with regards to its former building downtown. Paul Napoli, Marc Bern and their firm are robust and longstanding clients of banker Joanne Jensen and team. No longer pursuing litigation.		87	Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby	New York
	COVERED-Domestic	AML to Close - No Material Changes	Please add notes to the system that they are no longer pursuing the litigation	
	William & Helen Little Family Foundation		Paul Bartilucci	WILLIAM LITTLE FAMILY RELATIONSHIP
LE FAMILY RELATIONSHIP	12/4/2014	None	Majority of client assets left DB to follow Gerald L	

arr to HPM Partners. We are currently still managing this portion of the funds since it has been left with DB. 179 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York
COVERAGE-Domestic AML to Close - No Material Change Closed
Leggett, Susan C. Paul Bartilucci CONVERSE/LEGGETT RELATIONSHIP 3/2/2015
No material changes We recently processed an address change for the client 91 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - No Material Change address changes can be material. Please provide prior and current address.

The Alfred Harcourt Foundation Inc. Debjani Bagchi HARCOURT, A RELATIONSHIP 12/12/2014
No material changes at this time. Client is transferring the account to First Manhattan. Account is Terminating 171 Mary Keaveny, Lawrence Weisman IA IA
AML to Close - No Material Change closed
Columbia Realty Venture LLC Ron Colonna BERNSTEIN MANAGEMENT CORPORATION RELATIONSHIP 11/6/2014
Per Josh Bernstein, this account will refund in the future. Josh Bernstein and Bernstein Management Company used the funds from Columbia Realty Venture to purchase property in November 2014. 207 Mary Keaveny, Lawrence Weisman New York COVERAGE AML to Close - No Material Change closed
The Quebec Unit Trust Carlos Luna QUEBEC TRUST RELATIONSHIP 2/20/2013
Client's source of income is from his salary as a Senator in Mexico. He has no other source of income. There are no changes in this topic. No changes. Need to do a updated KYC with client's PEP status. 831 Lina Arias, Felipe Goddard LatAm Intl COVERAGE-LATAM AML to Close - KYC Done #1366921 closed
Ellin, Howard Ed Finley ELLIN, HOWARD RELATIONSHIP 10/9/2014
Estimated annual income remains 1.5MM from salary and investment income. After further conversation with the client, he revealed more information on positions we were not aware of. His estimated net worth is now 20-25MM, revised up from 5-10MM. This is not a change in wealth, just a better understanding of the assets he has been holding since the relationship began. 235 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - KYC Approved # 1316691 Closed
JEGE, LLC Paul Morris SOUTHERN FINANCIAL RELATIONSHIP 2/17/2015
No changes in income producing activities Darren Indyke was added as POA in February 2014 104 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - Approved KYC #1195111 Closed
Labick, Kevin Jay Harley KEVIN LABICK RELATIONSHIP 5/6/2015
Kevin works with EPAM but stills deals with design services, E Commerce and IT Solutions. His annual income has remained similar to prior ,assets are approximately \$11.6 MM New Line of request 26 Charlie Hoffarth, Peter Ferrara, Michelle Pecorino Residential Lending LENDING AML to Close - No Material Changes New booking center requires a KYC update.

SCIP Investor LCII, LLC Michele-M Quattrocchi PRINCIPALS OF SILVERFERN RELATIONSHIP 2/28/2014
As part of this arrangement and according to Section 5H of the attached Blocker Corporate Agreement, Ladder will take control of the bank account of SCIP Limited Partnership LC, L.P. and SCIP Limited Partnership LCII, L.P. As a first step in this process, we are requesting that the authorized signatories on the account be changed from current SCIP Limited Partnership LC, L.P. and SCIP Limited Partnership LCII, L.P. signers to the appropriate Ladder signatories. New Signatories on the account to be added and a KYC Update will be performed as soon as I receive the new documentation 458 Charlie Hoffarth, Charlie Burrows, Daphne Cales BANKING BANKING AML to Close - Client stated they no longer need to update signors as they will be closing their accounts. Please provide termination letter.

Campbell GS Trust Mark LaRoe CAMPBELL, ED RELATIONSHIP 4/28/2015
Real Estate and Oil & Gas Investments, Hedge Funds, Fixed Income, Private Equity and Notes Receivable are held in the trust. Q 2 - An update KYC Case #01351681 was approved in February 2015 in order to re-establish a relationship with the client (Campbell GS Trust). The KYC is being updated again in order to add CI Partners, Ltd. to the relationship (Case #01386565 - in process). Q 16 - The client is not an officer or director of a publically traded company. 34 Kim Hart, Andrew Galivan, Michael J. Davis, Michael Jacoby New York COVERAGE-Domestic AML to Close - KYC Done #01386565 closed
LBF Consulting Services B.C. LTD Armando Estua-Belaunzaran RAMI RELATIONSHIP 10/14/2013
No material changes - consulting fees are relatively stable to last year's fees. One of the partners recently passed away - there is going to be changes to the signatories in the account. The client has not yet specified if a new signatory is to be added. 595 Lina Arias, Felipe Goddard LatAm Intl COVERAGE-LATAM AML to Close - KYC Approved #01345967
If one of the partners passed away, the deceased should be removed as a signatory. The KYC only added an additional signatory without removing anyone.

LUMA CAPITAL, S.A. de C.V. Dessy Arteaga LUMA RELATIONSHIP 2/18/2015
Because DB's IA out performed the other investments, the Clients decided to allow us to manage another \$200 MM . Because DB's IA out performed the other investments, the Clients decided to allow us to manage another \$200 MM . 103 Lina Arias, Felipe Goddard LatAm Intl COVERAGE-LATAM AML to Close - No Material Change Closed