

Sheet 2
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Stewart Oldfield	Customer Owner	GCIS	Customer Number	Client Name	Relationship Name	Last KYC Date	Identify if paper KYC	Client Risk Rating	KYC Started on Tracker?	Due Date	IDD Start Month
Products as of	Revenue (USD) -	Revenue (USD) -	Revenue (EUR) -	Revenue (EUR) -	CBV (USD) -	CBV (USD) -	Products as of	Revenue (USD) -	Revenue (EUR) -	Revenue (EUR) -	Revenue (EUR) -
Oct-18	Sep-18	Sep-18	Sep-18	Sep-18	Sep-18	Sep-18	Products as of	Revenue (USD) -	Revenue (EUR) -	Revenue (EUR) -	Revenue (EUR) -
Stewart Oldfield	270557	The Jockey Club Foundation	JOCKEY CLUB	RELATIONSHIP	Only	2555.09149	2152.24674	6091829.37709	5241861.529999999		
Paper Moderate	Initial Due Diligence	3/31/2019	Dec 2018		Brokerage, Global Deposits						
Stewart Oldfield	219810	AXCIS INFORMATION NETWORK, INC.	JOCKEY CLUB	RELATIONSHIP	Only	.34866	3407.65825	288607.4129	248339.21		
Paper Moderate	Initial Due Diligence	3/31/2019	Dec 2018		Global Deposits 4053						
Stewart Oldfield	109001	Equibase Company	JOCKEY CLUB	RELATIONSHIP	Only Paper						
Moderate	Client not started	3/31/2019	Dec 2018	U.S. Liq Funds, U.S. Invtmt							
Funds, Global Deposits	8507.79521	7133.63634	3609815.3603100004	3106152.70							
Stewart Oldfield	535523	THE CHARLESMEAD FOUNDATION INC.	DEERING/CROSBY	RELATIONSHIP	10/1						
4/2016 Digital KYC	Moderate	Pending Exclusion	5/31/2019	Jan 2019	RCM,						
Brokerage	7000.14617	5938.84	1.4087570608760001E7	1.212198994E7							
Stewart Oldfield	556211	TODD R. WANEK 2016 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/14/2017						
Digital KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits						
its	11615.3699499999998	9777.72541	0	0							
Stewart Oldfield	556210	SHARI WAGNER 2016 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/14/2017						
Digital KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits						
its	9540.66083	8025.44503	0	0							
Stewart Oldfield	556208	KATI WANEK-FORSYTHE 2016 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/14						
/2017 Digital KYC	Moderate	Client not started	6/30/2019	Jan 2019	Glob						
al Deposits	7288.08473	6130.55799	0	0							
Stewart Oldfield	556207	KATI WANEK-FORSYTHE 2015 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/14						
/2017 Digital KYC	Moderate	Client not started	6/30/2019	Jan 2019	Glob						
al Deposits	0	0	0	0							
Stewart Oldfield	520582	Kati Forsythe 2014 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
Digital KYC	Moderate	Fully Approved	6/30/2019	Jan 2019	Global Deposits 4372						
4.57495	36621.088240000005	7810416.93655	6720661.65								
Stewart Oldfield	520550	Shari Wagner 2014 GRAT	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
Digital KYC	Moderate	Fully Approved	6/30/2019	Jan 2019	Global Deposits 5372						
6.14712000001	45216.93608	7908513.63454	6805071.319999999								
Stewart Oldfield	520549	CRW 2007 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	12/8/2015						
tal KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits 5824						
.81866	4863.91865	1012658.38041	871366.33								
Stewart Oldfield	520548	CRW 2009 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
tal KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits 2096						
1.5768	17584.19353	4284691.240549999	3686865.93								
Stewart Oldfield	520547	GEW 2009 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
tal KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits 2095						
7.26786	17580.56468	4284237.11881	3686475.17								
Stewart Oldfield	520546	GEW 2007 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	12/8/2015						
tal KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits 5827						
.11901	4865.84391	1012904.90729	871578.46								
Stewart Oldfield	495598	Waneke, Todd R.	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
tal KYC	Moderate	Fully Approved	6/30/2019	Jan 2019	Global Deposits 150247.51320						
999998	125876.22493000001	3.08722639929E7	2.6564784230000004E7								
Stewart Oldfield	495400	KWF 2007 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
tal KYC	Moderate	Fully Approved	6/30/2019	Jan 2019	Global Deposits 44686.27241						
37394.78364	7811952.71777	6721983.15									
Stewart Oldfield	495399	SSW 2007 LLC	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
tal KYC	Moderate	Client not started	6/30/2019	Jan 2019	Global Deposits 3305						
8.52334	27713.69395	5348884.44218	4602576.64								
Stewart Oldfield	495397	WANEK TRUST OF 2000	THIRD LAKE CAPITAL	RELATIONSHIP	3/29/2017						
Digital KYC	Moderate	Fully Approved	6/30/2019	Jan 2019	Global Deposits 1428						
27.50239	119774.10053	3.0671198457369998E7	2.639177254E7								
Stewart Oldfield	474262	Boies, Christopher	BOIES FAMILY	RELATIONSHIP	5/30/2014						
Digital KYC	Moderate	Client not started	6/30/2019	Jan 2019	Alternative						
Investments, Global Deposits, U.S. Invtmt Adv	6878.1007	5762.154229999999			1597905.9056						
699998	1374956.6800000002										
Stewart Oldfield	536086	TJC Holdings, Inc	JOCKEY CLUB	RELATIONSHIP	6/30/2016						
Digital KYC	Moderate	Client not started	3/31/2019	Mar 2019	Global Deposits						
its	116.38564	97.74807999999999	7801.48971	6712.98							
Stewart Oldfield	524640	Blood-Horse LLC	JOCKEY CLUB	RELATIONSHIP	12/16/2015						
tal KYC	Moderate	Client not started	3/31/2019	Mar 2019	Global Deposits 5723						
.1621700000005	4777.88387	83832.71294	72135.88								
Stewart Oldfield	514139	Coalition for Horse Racing Integrity, Inc.	JOCKEY CLUB	RELATI							
ONSHIP	7/7/2015	Digital KYC	Moderate	Client not started	3/31/2019						
2019	Global Deposits	39.46236	33.85964	189.80234	163.32						
Stewart Oldfield	43346	The Jockey Club	JOCKEY CLUB	RELATIONSHIP	3/2/2012						
tal KYC	Moderate	Client not started	3/31/2019	Mar 2019	Brokerage, U.S. Liq						
Funds, U.S. Invtmt Funds, Global Deposits	22672.02551	18925.490429999998			3.4131248430						
39999E7	29369056										
Stewart Oldfield	570649	Adikeshavar Holdings LLC	ADIKESHAVAR	RELATIONSHIP	Only						
Paper Low	Client not started	7/31/2019	Mar 2019	Brokerage	1444.29764						
1196.6368599999998	3806550.0857499996	3275437.84									

Stewart Oldfield SHIP Only Paper Investments 0	542725	Crestline Specialty Lending LP	CRESTLINE SPECIALTY LENDING RELATION	7/31/2019	Mar 2019	Alternative		
Stewart Oldfield Only Paper	539444	2016 Mayson-Deering Family Trust	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	299.	
9982 253.28 230853.56677	56677	198643.52000000002						
Stewart Oldfield Paper Low Pending	535526	GREEN EAGLES PARTNERS LLC	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
1232617.3022900003	1060635.28999999998							
Stewart Oldfield Pending Exclusion	535525	SUPURLATIV LLC	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
3840.57							4463.31843	
Stewart Oldfield Paper Low Pending	535520	45 SOUTH BATTERY PARTNERS LLC	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
454540.13124 391120.02								
Stewart Oldfield Low Pending Exclusion	535518	293 RUMSTICK LLC	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
.65931 6012.70								6987
Stewart Oldfield ING/CROSBY RELATIONSHIP	535515	2011 ANTHONY W DEERING TRUST UAD 11/21/11	KATHYRN DEERING TTEE DEER	5/31/2019	Mar 2019			
Brokerage 0	0	1.10156490428E7 9478680.93						
Stewart Oldfield ARREN TTEES DEERING/CROSBY RELATIONSHIP	535514	2004 DEERING FAMILY TRUST UAD 08/12/04	HEATHER CROSBY & AUGUSTUS D W					5/31
/2019 Mar 2019	0	0	24.47488				21.06	
Stewart Oldfield ING/CROSBY RELATIONSHIP	535511	SANDRA E DEERING GIFT TRUST UAD 12/09/11	SANDRA E DEERING TTEE DEER	5/31/2019	Mar 2019			
Brokerage 0	0	1880573.721	1618185.02					
Stewart Oldfield Paper Low Pending	535510	DEERING FAMILY LTD PARTNERSHIP	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
6633159.311960001	5707661.93							
Stewart Oldfield Paper Low Pending	535506	ACE LIMITED PARTNERSHIP LLLP	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
3489224.1915100003	3002387.12							
Stewart Oldfield Only Paper	535505	MATHEYS LANE GREEN WIZARD INVESTORS LLC	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
0 0 0								
Stewart Oldfield Paper Low Pending	535504	THE ROUSE COMPANY FOUNDATION	DEERING/CROSBY RELATIONSHIP	5/31/2019	Mar 2019	Brokerage	0	0
3219761.9679799997	2770521.85							
Stewart Oldfield IONSHIP Only Paper	493996	Madison Park Capital, LLC	GENERAL ATLANTIC FAMILY OFFICE RELAT	7/31/2019	Mar 2019	Brokerage		
0.00245 0.00203 0	0	Client not started						
Stewart Oldfield P Only Paper	565210	Echelon Investment Partners Master LP.	SK FAMILY OFFICE RELATIONSHI	7/31/2019	Feb 2019	Brokerage		
0 0 0	0	Client not started						
Stewart Oldfield Paper Low	492049	Falcon Trail Capital, LLC	SK FAMILY OFFICE RELATIONSHIP	7/31/2019	Feb 2019	Brokerage	0	0
0 0		Client not started						
Stewart Oldfield Paper Low	451399	508 West 25th Street, LLC	LINDEMANN FAMILY RELATIONSHIP	5/31/2019	Feb 2019	Residential Mortgage		0
0 0 0		Client not started						
Stewart Oldfield EMANN FAMILY RELATIONSHIP	442683	Coal Creek Farm, LC, a Florida Limited Liability Company	LIND	5/31/2019	Feb			
2019 Residential Mortgage	0	0	0					
Stewart Oldfield Paper Low	175040	INCOMPASS SOLUTIONS, INC.	JOCKEY CLUB RELATIONSHIP	3/31/2019	May 2019	Global Deposits	1008.44119	
847.42832 94105.27057	80975.15							
Stewart Oldfield ONSHIP Only Paper	121757	Grayson-Jockey Club Research Foundation, Inc.	JOCKEY CLUB RELATI	3/31/2019	May 2019	Brokerage		
117.53963 98.67699	Low	Initial Due Diligence						
Stewart Oldfield Exclusion Completed	535561	Deering, Sandra	DEERING/CROSBY RELATIONSHIP	5/31/2019	Jun 2019	Brokerage	0	0
54614.919999999999							63470.72927	
Stewart Oldfield Low Pending Exclusion	535522	DEERING, MARON M	DEERING/CROSBY RELATIONSHIP	5/31/2019	Jun 2019	Brokerage	3580.6873	3044
.70 3674066.6243999996	3161439.25							
Stewart Oldfield Low Pending Exclusion	535519	DEERING, SPENCER	DEERING/CROSBY RELATIONSHIP	5/31/2019	Jun 2019	Brokerage	365.7658200000012	
312.24999999999999	1731790.74561 1490161.12							
Stewart Oldfield Digital KYC Low	496075	JSC Interiors LLC	SOUTHERN FINANCIAL RELATIONSHIP	11/30/2019	Jul 2019	Global Deposits	2194	
.29672000000003 1832.19562	96852.69777 83339.24							
Stewart Oldfield Digital KYC Low	490561	Diamond B Capital, Inc.	BOIES FAMILY RELATIONSHIP	6/30/2019	Jun 2019	Alternative Investme		
nts, U.S. Invtmt Adv	494.25134 415.00421						2884678.66578 2482191.34	
Stewart Oldfield . Invtmt Adv	474213	Ellin, Howard	ELLIN, HOWARD RELATIONSHIP	11/30/2019	Jun 2019	Alternative Investments, U.S		
271.48352	225.86 198243.28913000002						170583.22	
Stewart Oldfield	472506	TJC Media Ventures, Inc.	JOCKEY CLUB RELATIONSHIP					3/2/

2012	Digital KYC	Low	Client not started	3/31/2019	Sep 2019	Global Depos
its	298.39445	254.06061	49401.9157	42509.07		