

Tabella1

Shared KYC Tracker

General Information		KYC Processing		REM Scope		Case Preparation		Timestamps		Final Approv		
Reason for KYC	GCIS Customer Number	KYC ID	Full Legal Name	Case Manager	RAG	Status	Next	Step by	Exclusion Reason	# Days in Outreach	Due Date	Customer Risk Score
PEP?	# Outreaches to RM	Missing Documents (if any)	Comment	Case Source	Eye - ABR	Date Added	Case Started	Latest RM Contact	Latest Client Contact	RM Outreach Escalati	on	Team
ACO	Research Received	Profile Completed	KYC Escalation Started	KYC Approved	Team	Case Manager Location	Type	Entity Type				
RR	409100	1882073	Black, Leon D.	Vijay Sawant	Future review	Pending Approval						with
ABR	9/27/18	High	Initial Scope	7/24/18	1/8/18	8/22/18	USO NY	Stewart	Oldfield			Mumb
ai	Individual	N/A - Individual										
Remediation	550868	1946825	Prytanee, LLC	Vijay Sawant	Due soon	Quality Rejection						
8/31/18	High	Initial Scope	7/24/18	5/30/18	USO NY	Stewart	Oldfield					Mumbai Organization
Company												
RR	489505	1977698	[REDACTED]	Vijay / Mayur	Overdue Client Outreach with RM 24							
7/27/18	High	No	1	Initial email sent on 7/31/18								
d on 8/16/18	Initial Scope	7/24/18	8/17/18	7/31/18	8/18/18	USO NY	Stewart	Oldfield				Mumb
ai	Individual	N/A - Individual										
RR	483289	1977695	Epstein, Jeffrey E.	Vijay / Mayur	Overdue Client Outreach with RM 2							
8/8/18	High	No	2	Initial email sent on 7/30/18								
d on 8/16/18	Initial Scope	7/24/18	8/17/18	8/22/18	8/21/18	USO NY	Stewart	Oldfield				Mumb
ai	Individual	N/A - Individual										
RR	483882	1977703	Southern Financial LLC	Vijay / Mayur	Overdue Client Outreach with RM 0							
8/8/18	High	No	1	Since Initial email on 8/14/18 awaiting SOS from the banker. Partial								
info on no material changes received on 8/16/18. Email sent for SOS & Jean Anne name confirmation												
Initial Scope	7/24/18	8/17/18	8/24/18	8/21/18	USO NY	Stewart	Oldfield					Mumbai Organization
Company												
RR	483883	1977695	Southern Trust Company, Inc.	Vijay / Mayur	Overdue Client Outreach with RM 2							
RM	2	8/8/18	High	No	2	Initial email sent on 7/30/18						
changes received on 8/16/18	Initial Scope	7/24/18	8/17/18	8/22/18	8/21/18	USO NY	Stewart	Oldf				
field	Mumbai Organization	Company										
RR	486427	1977699	J. Epstein Virgin Islands Foundation, Inc	Vijay / Mayur	Overdue Clie							
nt Outreach	with RM 24	8/8/18	High	No	1	Since Initial email on 7/30/18 await						
ing SOS & IRS Exemption confirmation from the banker. Partial info on no material changes received												
on 8/16/18.	Initial Scope	7/24/18	8/17/18	7/31/18	8/21/18	USO NY	Stewart	Oldfield				Mumb
ai	Organization	Foundation/Association										
RR	499760	1977700	Gratitude America Ltd	Vijay / Mayur	Overdue Client Outreach with RM 1							
8/16/18	High	No	2	Since Initial email on 8/1/18 awaiting SOS from the banker. Partial								
info on no material changes received on 8/16/18. RP confirmation mail sent on 8/23/18	Initial Scop	7/24/18	8/17/18	8/23/18	8/21/18	USO NY	Stewart	Oldfield				
e	7/24/18	8/17/18	8/23/18	8/21/18	USO NY	Stewart	Oldfield					Mumbai Organization
Foundation/Association												
RR	487264	1977698	Neptune, LLC	Vijay / Mayur	Overdue Client Outreach with RM 24	8/16						
/18	High	No	1	Initial email sent on 7/31/18								
d on 8/16/18	Initial Scope	7/24/18	8/17/18	7/31/18	8/21/18	USO NY	Stewart	Oldfield				Mumb
ai	Organization	Company										
RR	487265	1977694	NES, LLC	Vijay / Alka	Overdue Client Outreach with RM 0	8/16						
/18	High	Received banker confirmation on material changes and FINCEN form. Awaiting clarifica										
tion on the addition of signatory due to discrepancy in Corporate Resolution.	Initial Scope	7/24										
/18	8/17/18	8/24/18	USO NY	Stewart	Oldfield							Mumbai Organization
Company												
RR	499733	1977703	LSJE, LLC	Vijay / Mayur	Overdue Client Outreach with RM 0	8/18						
/18	High	No	1	Since Initial email on 8/14/18 awaiting SOS from the banker. Partial								
info on no material changes received on 8/16/18. Emails sent for SOS	Initial Scope	7/24/18	8/17									
/18	8/24/18	8/21/18	USO NY	Stewart	Oldfield							Mumbai Organization
Company												
RR	487225	1977699	Hyperion Air, LLC	Vijay / Mayur	Overdue Client Outreach with RM 24							
8/18/18	High	No	1	Since Initial email on 7/30/18 awaiting SOS from the banker. Partial								
info on no material changes received on 8/16/18.	Initial Scope	7/24/18	8/17/18	7/31/18	8/21							
/18	USO NY	Stewart	Oldfield									Mumbai Organization
Company												
RR	487244	1977705	JEJE, Inc	Vijay / Alka	Overdue Client Outreach with RM 1	8/18						
/18	High	Received banker confirmation on material changes and FINCEN form. Awaiting confirmat										
ion on the status of the account basis the comment on the customer page regarding the closure of the												
account.	Initial Scope	7/24/18	8/17/18	8/23/18	USO NY	Stewart	Oldfield					Mumbai Orga
nization	Company											
RR	487216	1977705	JEJE, LLC	Vijay / Alka	Overdue Client Outreach with RM 1	8/18						
/18	High	Received banker confirmation on material changes and FINCEN form. Awaiting clarifica										
tion on the addition of signatory due to discrepancy in Corporate Resolution and SOS and COGS	Init											
ial Scope	7/24/18	8/17/18	8/23/18	USO NY	Stewart	Oldfield						Mumbai Organization
Comp												
any												
RR	487219	1977694	Plan D, LLC	Vijay / Alka	Overdue Client Outreach with RM 0	8/18						
/18	High	Received banker confirmation on material changes and FINCEN form. Awaiting clarifica										
tion on the addition of signatory due to discrepancy in Corporate Resolution.	Initial Scope	7/24										
/18	8/17/18	8/24/18	USO NY	Stewart	Oldfield							Mumbai Organization
Company												
RR	486423	1977705	Jeeper, Inc	Vijay / Alka	Overdue Client Outreach with RM 1	8/18						
/18	High	Received banker confirmation on material changes and FINCEN form. Awaiting clarifica										
tion on the addition of signatory due to discrepancy in Corporate Resolution and SOS and COGS	Init											
ial Scope	7/24/18	8/17/18	8/23/18	USO NY	Stewart	Oldfield						Mumbai Organization
Comp												
any												
RR	487266	1977700	Mort, Inc	Vijay / Mayur	Overdue Client Outreach with RM 1	8/18						

/18	High	No	2	Since Initial email on 8/1/18 awaiting SOS & COI from the banker. Partial info on no material changes received on 8/16/18. RP confirmation mail sent on 8/23/18	Initial Scope	7/24/18	8/17/18	8/23/18	8/21/18	USO NY	Stewart Oldfield	Mumbai	Organization
RR	550331	1977695	Zorro Management, LLC	Vijay / Mayur	Overdue	Client Outreach with RM 2							
8/18/18	High	No	2	Since Initial email on 7/30/18 awaiting SOS from the banker. Partial info on no material changes received on 8/16/18.	Initial Scope	7/24/18	8/17/18	8/22/18	8/21/18	USO NY	Stewart Oldfield	Mumbai	Organization
RR	486426	1977698	Butterfly Trust	Vijay / Mayur	Due soon	Client Outreach with RM 24							
9/6/18	High	No	1	Initial email sent on 7/31/18 . Info on no material changes received on 8/16/18	Initial Scope	7/24/18	8/17/18	7/31/18	8/18/18	USO NY	Stewart Oldfield	Mumbai	Organization
RR	487199	1977694	The 2007 Jeffrey E. Epstein Insurance Trust #3	Vijay / Alka	Due soon	Client Outreach with RM 0							
9/6/18	High	Received banker confirmation on material changes, awaiting confirmation if this is personal trust so to have FinCen CDD form. Awaiting documents verifying address and DOB of UBO	9/6/18	High	Received banker confirmation on material changes, awaiting confirmation if this is personal trust so to have FinCen CDD form	Initial Scope	7/24/18	8/17/18	8/24/18	USO NY	Stewart Oldfield	Mumbai	Organization
RR	486428	1977694	The Haze Trust	Vijay / Alka	Due soon	Client Outreach with RM 0							
9/6/18	High	Received banker confirmation on material changes, awaiting confirmation if this is personal trust so to have FinCen CDD form	Initial Scope	7/24/18	8/17/18	8/24/18	USO NY	Stewart Oldfield	Mumbai	Organization	Trust		
RR	524664	The Jockey Club PAC	Vijay Sawant	Due soon	Client not started	9/12							
/18	High	Initial Scope	7/24/18	USO NY	Stewart Oldfield	Mumbai	Organization	Foundation/Association					

Date, when the KYC record has been added to this list. Eugen Gorschenin