

Customer Owner:
2019 # Remediation Clients Due Overview
Stewart Oldfield

10
12
14
16
18
20
0
2
4
6
8
Jan 2019
Jan 2019
Moderate
Low
Total

0
0
0
2019 # Remediation Clients Due: Stewart Oldfield

19
16
4
3
2
1
Feb 2019
Feb 2019
3
0
3
Mar 2019
Mar 2019
16
0
16
Apr 2019
Apr 2019
0
4
4
May 2019
May 2019
4
15
19
Jun 2019
Jun 2019
0
0
0
Jul 2019
Jul 2019
0
2
2
Aug 2019
Aug 2019
0
3

3
Sep 2019
Sep 2019
0
3
3
Oct 2019
Oct 2019
0
0
0
Nov 2019
Nov 2019
0
0
0
Dec 2019
Dec 2019
0
1
1
3
3

Clients Detailed Overview
GCIS

██████████
██████████
Client Name
The Jockey Club
Foundation
AXCIS
INFORMATION
NETWORK, INC.

██████████
██████████
██████████
██████████
██████████
██████████
THE
CHARLESMEAD
TODD R. WANEK
2016 GRAT
SHARI WAGNER
2016 GRAT
KATI WANEKFORSYTHE
2016
GRAT
KATI WANEKFORSYTHE
2015
GRAT
Kati Forsythe 2014
GRAT
Shari Wagner 2014
GRAT

██████████ CRW 2007 LLC
██████████ CRW 2009 LLC
██████████ GEW 2009 LLC
██████████ GEW 2007 LLC
██████████ Wanek, Todd R.
██████████ KWF 2007 LLC
██████████ SSW 2007 LLC

WANEK TRUST OF
2000

Relationship Name

JOCKEY CLUB RELATIONSHIP

JOCKEY CLUB RELATIONSHIP

Equibase Company JOCKEY CLUB RELATIONSHIP

DEERING/CROSBY RELATIONSHIP

THIRD LAKE CAPITAL RELATIONSHIP

Boies, Christopher BOIES FAMILY RELATIONSHIP

TJC Holdings, Inc

Blood-Horse LLC

Coalition for Horse
Racing Integrity, Inc.

The Jockey Club

Adikeshavar
Holdings LLC
Crestline Specialty
Lending LP

2016 MaysonDeering
Family Trust

GREEN EAGLES

PARTNERS LLC

45 SOUTH

BATTERY

JOCKEY CLUB RELATIONSHIP

JOCKEY CLUB RELATIONSHIP

JOCKEY CLUB RELATIONSHIP

JOCKEY CLUB RELATIONSHIP

ADIKESHAVAR RELATIONSHIP

CRESTLINE SPECIALTY LENDING
RELATIONSHIP

DEERING/CROSBY RELATIONSHIP

DEERING/CROSBY RELATIONSHIP

SUPURLATIV LLC DEERING/CROSBY RELATIONSHIP

DEERING/CROSBY RELATIONSHIP

293 RUMSTICK LLC DEERING/CROSBY RELATIONSHIP

2011 ANTHONY W

DEERING TRUST

UAD 11/21/11

KATHYRN DEERING

TTEE

DEERING/CROSBY RELATIONSHIP

\$20,962
\$20,957
\$5,827
\$150,248
\$44,686
\$33,059
\$142,828
\$6,878
\$116
\$5,723
\$39
\$22,672
\$1,444
\$0
\$300
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$7,810,417
\$7,908,514
\$1,012,658
\$4,284,691
\$4,284,237
\$1,012,905
\$30,872,264
\$7,811,953
\$5,348,884
\$30,671,198
\$1,597,906
\$7,801
\$83,833
\$190
\$34,131,248
\$3,806,550
\$0
\$230,854
\$1,232,617
\$4,463
\$454,540
\$6,988
\$0 \$11,015,649
For internal use only
1 of 2

GCIS
Client Name

██████████
2004 DEERING
FAMILY TRUST UAD
08/12/04 HEATHER
CROSBY &
AUGUSTUS D
WARREN TTEES

██████████
SANDRA E
DEERING GIFT
TRUST UAD
12/09/11 SANDRA E
DEERING FAMILY
LTD PARTNERSHIP
ACE LIMITED
PARTNERSHIP
MATHEYS LANE
GREEN WIZARD
INVESTORS LLC
THE ROUSE
COMPANY
FOUNDATION
Madison Park
Capital, LLC
Echelon Investment
Partners Master LP.
Falcon Trail Capital,
LLC
508 West 25th
Street, LLC
Coal Creek Farm, LC,
a Florida Limited
Liability Company
INCOMPASS
SOLUTIONS, INC.
Grayson-Jockey
Club Research
Foundation, Inc.

██████████ Deering, Sandra

██████████
DEERING,
SPENCER
DEERING, MARON

M
██████████ JSC Interiors LLC

██████████ Ellin, Howard

TJC Media Ventures,

Inc.
Diamond B Capital,
Inc.
Relationship Name
Last KYC
Date
DEERING/CROSBY RELATIONSHIP
Paper KYC Client Risk Status on Tracker Due Date
IDD Month Products (Oct-18)
Rev (Sep-18)
Only Paper Low
Client not started
5/31/2019 Mar 2019
Brokerage
\$0
CBV (Sep-18)
\$24
DEERING/CROSBY RELATIONSHIP
Only Paper Low
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
GENERAL ATLANTIC FAMILY OFFICE
RELATIONSHIP
SK FAMILY OFFICE RELATIONSHIP
SK FAMILY OFFICE RELATIONSHIP
LINDEMANN FAMILY RELATIONSHIP
LINDEMANN FAMILY RELATIONSHIP
JOCKEY CLUB RELATIONSHIP
JOCKEY CLUB RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
DEERING/CROSBY RELATIONSHIP
SOUTHERN FINANCIAL RELATIONSHIP
BOIES FAMILY RELATIONSHIP
ELLIN, HOWARD RELATIONSHIP
JOCKEY CLUB RELATIONSHIP
Only Paper Low
12/2/2014 Digital KYC Low
5/30/2014 Digital KYC Low
1/8/2015 Digital KYC Low
3/2/2012 Digital KYC Low
Client not started
Client not started

Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
Client not started
5/31/2019 Mar 2019
4/30/2019 Feb 2019
4/30/2019 Feb 2019
4/30/2019 Feb 2019
4/30/2019 Feb 2019
7/31/2019 May 2019
Brokerage
Brokerage
Brokerage
Brokerage
Brokerage
Brokerage
Brokerage
Brokerage
Residential Mortgage
Residential Mortgage
Global Deposits
7/31/2019 May 2019 Brokerage
8/31/2019 Jun 2019
8/31/2019 Jun 2019
8/31/2019 Jun 2019
9/30/2019 Jul 2019
9/30/2019 Jun 2019
9/30/2019 Jun 2019
12/31/2019 Sep 2019
Brokerage
Brokerage
Brokerage
Global Deposits
Alternative Investments,
U.S. Invtmt Adv
Alternative Investments,
U.S. Invtmt Adv
Global Deposits
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$0
\$1,008
\$1,880,574

\$6,633,159
\$3,489,224
\$0
\$3,219,762
\$0
\$0
\$0
\$0
\$0
\$94,105
\$118 \$15,194,550
\$0
\$3,581
\$366
\$2,194
\$494
\$271
\$298
\$63,471
\$3,674,067
\$1,731,791
\$96,853
\$2,884,679
\$198,243
\$49,402
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