

Hedge Funds

Structured Notes

Private Equity

Hedge Funds

Vista	Goldman BDC	Alkeon	Aspect	Canyon	Email		
Client Name	Banker	Contact	Name	Contact	Confirmed	DPM	
Engagement?	Overview	Sent	Invested		Comments	Status	
Notes	Status	Notes	Status	Notes	Status	Notes	Ten Thems
1	2	3					

Aspen Grove Capital, LLC		Oldfield		Jeff Kirwood			
3/10/2017	N	6/1/2016	Y	N	None	None	
Docs sent							

Bright Group	Oldfield		Darren Campf	3/10/2017	N		
6/1/2016	Y	N	Docs sent	No response	Docs		
sent	Just added CTA exposure last month with Graham and Winton. Send anything interesting as it comes up			Docs sent			

Chris Boies	Oldfield		Chris Boies	3/10/2017	N		
6/1/2016	N	None	None	None			
Cliff Illig	Oldfield		Matt Ferguson	3/10/2017	N		
6/1/2016	Y	N	Docs sent	No response	Docs		
sent	No response	Docs sent					

Comprehensive Financial Management		Oldfield		Tim Sarhatt & Rob			
Cain	3/10/2017	N	None	None	Docs sent		

DF Enterprises	Oldfield		Jason Stiles and Clint Gossage				
3/10/2017	N	6/1/2016	N	Docs sent	No		
response	Docs sent		No response	None			

EverWatch Financial	Oldfield		Send to Ted Kokas... Other contacts:				
Frohman Anderson , Matt Womble, and Tyler Webb				3/10/2017	N		
6/1/2016	Y	N	At this time it is highly unlikely that Everwatch would be utilizing structured notes. Should our needs change, I will let you know.	Docs sent			

Forrestal Capital, LLC	Oldfield		Annette Franqui	3/10/2017			
N	6/1/2016	Y	N	Docs sent	No response		
Docs sent	No response	Docs sent					

Georgetown University Endowment	Oldfield		Michael K. Barry & Maksim				
Altmark	3/10/2017	N	6/1/2016	Y	N	None	
None	Docs sent						

Gerschel	Oldfield		Jonathan Botwinick	3/10/2017			
N	None	None	Docs sent				
Henry Nicholas	Oldfield		Milo Gonzalez and Gosha Zandt				
3/10/2017	N	6/1/2016	Y	N	Docs sent		
No response	Docs sent	No response	None				

Ian Slome	Oldfield		Ian Slome	3/10/2017	N		
Docs sent	No response	Docs sent	Will review and let us know if they want to do anything.	Docs sent			

Iconiq	Oldfield		Kevin Foster and Steve Kim		N
6/1/2016	N	None	None	None	
[REDACTED]					
Ironsides Asset Management			Oldfield	Mark Roberts	N
6/1/2016	Y	N	None	None	None
[REDACTED]					
JL Squared Group			Oldfield	Jonathan "Jon" Liggett & Michael	
Wigrizer	3/10/2017		N	6/1/2016	Y N
Docs sent	No response		Docs sent		Have an existing rel. with
Aspect.	Send funds/ideas as they		come up.		Docs sent
[REDACTED]					
Karl Schreiber	Oldfield		Karl Schreiber	N	6/1/2016
N	None	None	None		
[REDACTED]					
Latona Associates			Oldfield	Katherine Montrone	N
6/1/2016	N		Docs sent	No response	Docs sent
No response	None				
[REDACTED]					
Marron	Oldfield		Tony Persico	3/10/2017	N None
None	None				
[REDACTED]					
Michael Bills / Bluestem			Oldfield	Brian Merrins & Michael	
Bills?	N	None	None	Docs sent	
[REDACTED]					
Michael Tabacinic			Oldfield	Michael Tabacinic	N
6/1/2016	Y	N	Yes - As you say, the market is in an		
"interesting" era. At the moment we've decided to mostly just step away from					
the public market for the time being, until the situation changes. - June					
2016					

Thank you for the term sheets. Always good to see what's out there.

N	None	None	None		
[REDACTED]					
Parkview US LLC	Oldfield		Marcus Epprecht and Cecilia Santana		
3/10/2017	N	6/1/2016	Y	N	Docs sent
No response	Docs sent		No response		Docs sent
[REDACTED]					
Perspecta	Oldfield		Tony Annino and Katherine Montrone		
N	6/1/2016	N	None	None	Docs sent
[REDACTED]					
Shamrock Holdings			Oldfield	Greg Martin and Stanley Gold	
N	6/1/2016	N	None	None	Docs sent
[REDACTED]					
SK Capital	Oldfield		Charles Britton	N	6/1/2016
N	None	None	Docs sent		
[REDACTED]					
Southern Financial			Oldfield	N	None None None
TFMG LLC	Oldfield		Steve Warner	3/10/2017	N
N	None	None	Docs sent		
[REDACTED]					
Tony Ehinger	Oldfield		Tony Ehinger	N	6/1/2016
N	None	None	None		
[REDACTED]					
True North Advisors, LLC			Oldfield	Dhruv Maniktala	N
6/1/2016	Y	N	None	None	Docs sent
[REDACTED]					

Third Lake	Oldfield		Paul Watson & Robert Forsythe		Docs
sent	No response		Docs Sent	No response	Docs sent
[REDACTED]					

Glen Warren      Oldfield      Glen Warren      3/10/2017      None  
None      Docs sent      [REDACTED]  
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Vista

Banker	DPM	Previous ISG Contact	Previous AIS Req	Brokerage			
Account Submitted	Signed Pre Qual	Submitted	Billionaire				
Docs Received	In Folder	Notes	Email Sent	Response			
Follow Up Email Sent	Date of Last Contact	% Chance of Close					
Potential Order Size	Comments						
Bluestem	Oldfield	N	N	Y	Y		
Y	Y	Michael Billis	Y	Yes- will give it more thought and think about who else might be willing to give it a look	N		
Bright	Oldfield	Y	Y	N	Y		
Y	Y	Y	Y	Y	Y		
Dorrance	Oldfield	Y	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Forrestal	Oldfield	Y	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Illig	Oldfield	Y	Y	N	Y	Y	
Y	Y	Y	Y- Sent to Robb	Y	Y	Y	
Shamrock - Greg Martin	Oldfield	N	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Slome	Oldfield	Y	Y	N	Y	Y	
Y	Y	Yes- Pass for the moment	N	Y	Y	Y	
True North	Oldfield	N	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Latona	Oldfield	Y	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Ellin	Oldfield	Y	Y	N	Y	Y	
Y	Y	Y	Y	Y	Y	Y	
Tisch - TFMG?	Oldfield	N	Y	Y	N	Y	
Y	Y	QJ8001811 - KCP	Y	Y	AIS for Tisch is submitted. The request is submitted under the KCP account under Daniel Sabba. If the client wants to invest, we will open the WIC account, Joseph Cothron will be the WIC sales.	Y	
Parkview	Oldfield	Y	Y	Y	Y	Y	Y

TFMG Associates

Insitution

Banker Stew Olfield has known for 18 months - has been a client of KCP for multiple years

History of investing in illiquid investments, have a very large PE and HF portfolio. They are even willing to seed new hedge fund mgrs

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Oldfield

Status	Client Response	AIS Request	Tracking ID	Client/Prospect Name
Banking Team	Office	AIS Submitter	Potential Order Size	
Comments	Contact(s)	Email 1	Email 2	Email 3
Nickname				
Previous Contact				
Documents sent to client		No response from client	Aspen Grove	
Oldfield, Stewart	New York	Andrew King	Submitted	
Jeff Kirwood				
Documents sent to client		No response from client	Bright Oldfield,	
Stewart New York	Andrew King	Submitted	Darren Campf	
Documents sent to client		No response from client	CFM Oldfield,	
Stewart New York	Andrew King	Submitted	Tim Sarhatt & Rob	
Cain				
Documents sent to client		No response from client	Dorrance	
Oldfield, Stewart	New York	Andrew King	Submitted	
Jason Stiles and Clint Gossage				
No response from client	Parkview	Oldfield, Stewart	New	
York	Andrew King	Is being sent by Pieta		
Documents sent to client		No response from client	Everwatch	
Oldfield, Stewart	New York	Andrew King	Submitted	
Frohman Anderson , Matt Womble, and Tyler Webb				
Documents sent to client		No response from client	Forrestal	
Oldfield, Stewart	New York	Andrew King	Submitted	
Annette Franqui				
Documents sent to client		No response from client	Gerschel	
Oldfield, Stewart	New York	Andrew King	Submitted	
Jonathan Botwinick				
Documents sent to client		No response from client	GU Oldfield,	
Stewart New York	Andrew King	Submitted	Michael K. Barry &	
Maksim Altmark				
Documents sent to client		No response from client	Illig Oldfield,	
Stewart New York	Andrew King	Submitted	Robb Heinemann	
No response from client	Epstein/Southern Financial	Oldfield,		
Stewart New York	Andrew King	KCP		
Documents sent to client		No response from client	JL squared	
Oldfield, Stewart	New York	Andrew King	Submitted	
Johnathan Liggett & Michael Wigrizer				
Documents sent to client		No response from client	Marron Oldfield,	
Stewart New York	Andrew King	Submitted	Tony Persico	
Documents sent to client		No response from client	Slome Oldfield,	
Stewart New York	Andrew King	Submitted	Ian Slome	
No response from client	Tisch Oldfield, Stewart	New York		
Andrew King	KCP	Steve Warner		

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