

Subject: FW: Weekly Status Update - Week ending 10/12/2018 [I]
From: Bradley Gillin <[REDACTED]>
Date: Mon, 15 Oct 2018 09:39:28 -0400
To: Stewart Oldfield <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>

Classification: For internal use only

Stew,

Push below cases to the next KYC queue. Thanks.

KYC Case01977703 - Southern Financial LLC & LSJE, LLC (For Stewart)

KYC Case01977699 - J. Epstein Virgin Islands Foundation, Inc; Hyperion Air, LLC (For Stewart)

Regards,
Brad

From: Vijay-A Sawant
Sent: Monday, October 15, 2018 9:11 AM
To: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>
Cc: Mayur Rathod <[REDACTED]>; Vinita Advani <[REDACTED]>
Subject: Weekly Status Update - Week ending 10/12/2018
Importance: High

Hello Brad,

Apologies, I was meant to send this on Friday, but here it is, belatedly. The counts are provided for each risk rating indicated by H for High risk, M for Moderate & L for Low. Let me know if you have any queries, thanks.

2018 HR Update:

Status

Count

Notes

Client not started

H - 0; M - 39 & L - 52

Client Outreach

H - 21; M - 6 & L - 0

Exclusion Completed

H - 12; M - 0 & L - 0

All Sillerman accts are being handled by ABR on account of bankruptcy filing by the SOW - Jeffrey Epstein

Fully Approved

H - 19; M - 1 & L - 0

Initial Due Diligence

H - 4; M - 1 & L - 0

Pending Approval

H - 20; M - 0 & L - 0

Accounts with PO are listed below for reference. These need to be pushed to

the next stages.

Pending Exclusion

H - 2; M - 0 & L - 0

Profile Completion

H - 1; M - 0 & L - 0

Expected to be submitted as soon as docs received for GoldenTree

Quality Rejection

H - 11; M - 10 & L - 1

Grand Total

200

KYC Case01977703 - Southern Financial LLC & LSJE, LLC (For Stewart)

KYC Case01977699 - J. Epstein Virgin Islands Foundation, Inc; Hyperion Air, LLC (For Stewart)

KYC Case01981931 - Goldentree High Grade Floating Rate Fund GP LLC (For Brad)

KYC Case01984308 - Goldentree Loan Management GP, LLC (For Brad)

Let me know if any queries, thanks.

Kind Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

KYC Case Representative

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