

Subject: RE: MD approvals for High Risk ACUs completed [I]  
From: Andrew Gallivan <[REDACTED]>  
Date: Mon, 27 Jun 2016 14:13:53 -0400  
To: Vaishali-P Mehta <[REDACTED]>  
Cc: Douglas Robertson <[REDACTED]>,  
Stewart Oldfield <[REDACTED]>,  
Leo Bresnahan <[REDACTED]>,  
Paul Morris <[REDACTED]>

Classification: For internal use only

Approved

From: Vaishali-P Mehta  
Sent: Monday, June 27, 2016 1:28 PM  
To: Andrew Gallivan  
Cc: Douglas Robertson; Stewart Oldfield; Leo Bresnahan; Paul Morris  
Subject: MD approvals for High Risk ACUs completed [I]

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Dear Andrew,

All the below ACUs were completed for High Risk clients showing no material changes to the client's circumstances.

Please review the ACU comments, and reply back with your approval.

Annual Client Update: ID

Customer Owner

SILO

MD

GCIS Customer Number

Customer Name

Annual Client Update: Created Date

A14.

A15. Client Status Update Description

A16.

A17.

75302

Douglas Robertson

US-Onshore

Andrew Galivan

00000469532

Millstein & Co. LLC

5/31/2016

Millstein & Co remains a restructuring focused advisory firm based in DC and NY with the emphasis on corporate and sovereigns.

The purpose of the meeting was to perform a comprehensive annual review of the personal and corporate accounts. We discussed Millstein & Co's involvement with the Puerto Rico debt restructuring, general muni & market outlooks, and the positioning of various investment accounts. The business accounts are fairly straightforward as they continue to serve as the operating accounts for the business.

No

No

75240

Douglas Robertson

US-Onshore

Andrew Galivan

00000113123

Simon, J. Peter

5/24/2016

The client continues to live and work in NJ area, where family office WES &

Sons operates.

The topic of discussion included the current state of affairs with the family office, market outlook, and a review of certain anticipated transactions. There are no material changes with this client.

No

No

75819

Leo Bresnahan

TRUST

Andrew Galivan

00000482108

Brett Dylan Bagley Irrevocable Trust

6/14/2016

No changes

No changes

No

No

75248

Leo Bresnahan

TRUST

Andrew Galivan

00000482112

Conor Reynolds Bagley Irrevocable Trust

5/24/2016

No changes

No changes

No

No

75254

Leo Bresnahan

TRUST

Andrew Galivan

00000483766

Marital Trust FBO Elizabeth Bagley

5/24/2016

No changes

No changes

No

No

75244

Leo Bresnahan

TRUST

Andrew Galivan

00000482111

Nicole Ladmer Bagley Irrevocable Trust

5/24/2016

No changes

No changes

No

No

75249

Leo Bresnahan

TRUST

Andrew Galivan

00000482110

Smith Beau Walker Bagley Irrevocable Trust

5/24/2016

No changes

No changes

No

No

75246

Leo Bresnahan

TRUST

Andrew Galivan

00000482109

Taylor M. Bagley Irrevocable Trust

5/24/2016

No changes

No changes

No

No

75253

Leo Bresnahan

TRUST

Andrew Galivan

00000484581

The Conor Bagley Appointive Trust U/W of Smith Bagley

5/24/2016

No change

No changes

No

No

75252

Leo Bresnahan

TRUST

Andrew Galivan

00000484582

The Vaughan Bagley Appointive Trust U/W of Smith Bagley

5/24/2016

No changes

No changes

No

No

75250

Leo Bresnahan

TRUST

Andrew Galivan

00000484583

TR FBO Conor R Bagley UA dtd 10/27/95 by Smith Bagley

5/24/2016

No changes

No changes

No

No

75251

Leo Bresnahan

TRUST

Andrew Galivan

00000484587

TR FBO Vaughan E Bagley UA dtd 11/26/90 by Elizabeth F Bagley

5/24/2016

No changes

No changes

No

No

75245

Leo Bresnahan

TRUST

Andrew Galivan

00000482107

Vaughan Elizabeth Bagley Irrevocable Trust

5/24/2016

No changes

No changes

No

No

75792

Stewart Oldfield

US-Onshore

Andrew Galivan

00000483883

Southern Trust Company, Inc.

6/14/2016

Southern Trust Company has not changed its nature of business within the past year. it is still a private investment company and has no changed.

Southern Trust is still a private investment company and has not had any changes

No

No

75022

Paul Morris

US-Onshore

Andrew Galivan

00000409100

Black, Leon D.

5/10/2016

client is CEO of Apollo Global management. Family office established in 2014 to manage family wealth.

Distributions from APO and other diversified investments.

Yes

No

75020

Paul Morris

US-Onshore

Andrew Galivan

00000486427

J. Epstein Virgin Islands Foundation, Inc

5/10/2016

Private foundation

investment income

Yes

No

75019

Paul Morris

US-Onshore

Andrew Galivan

00000486423

Jeepers, Inc

5/10/2016

Jeepers is sub S managing various investments

investment activities, advisory services

Yes

No

75018

Paul Morris

US-Onshore

Andrew Galivan

00000487266

Mort, Inc

5/10/2016

Mort is entity holding shares of private company Jawbone

Holds private investment

No

No

75021

Paul Morris

US-Onshore

Andrew Galivan

00000486428

The Haze Trust

5/10/2016

Investment vehicle

No change

Yes

No

Regards,

Vaishali Mehta

Head of Anti-Money Laundering Business Risk  
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