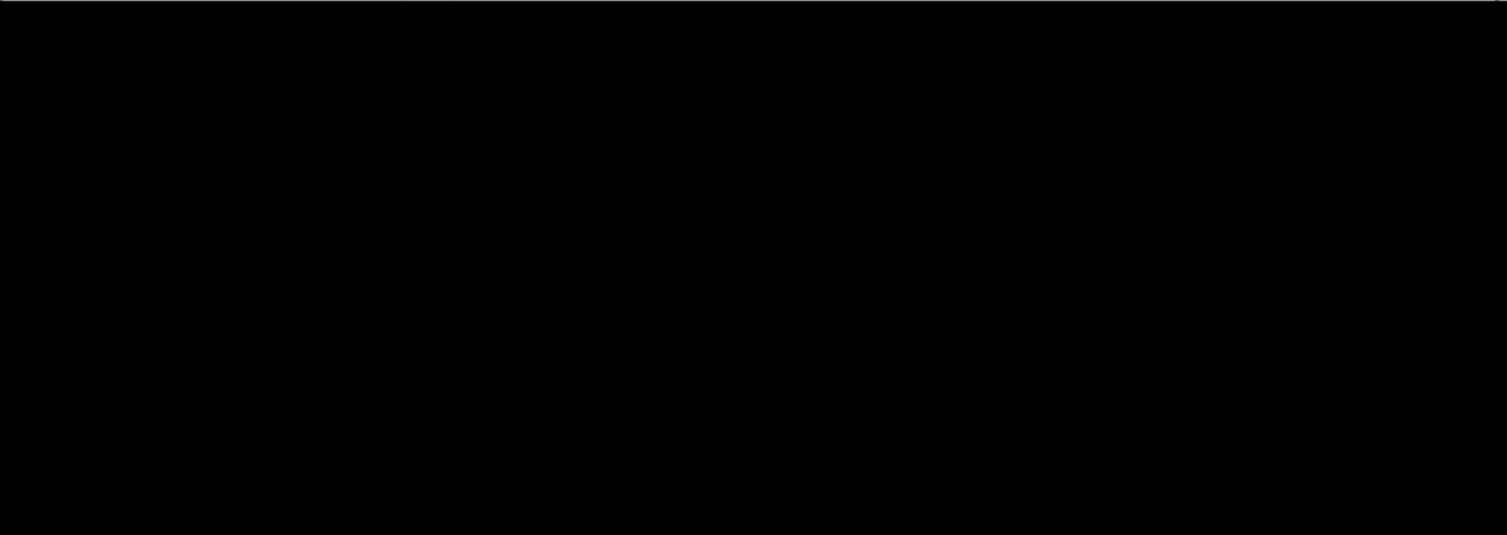
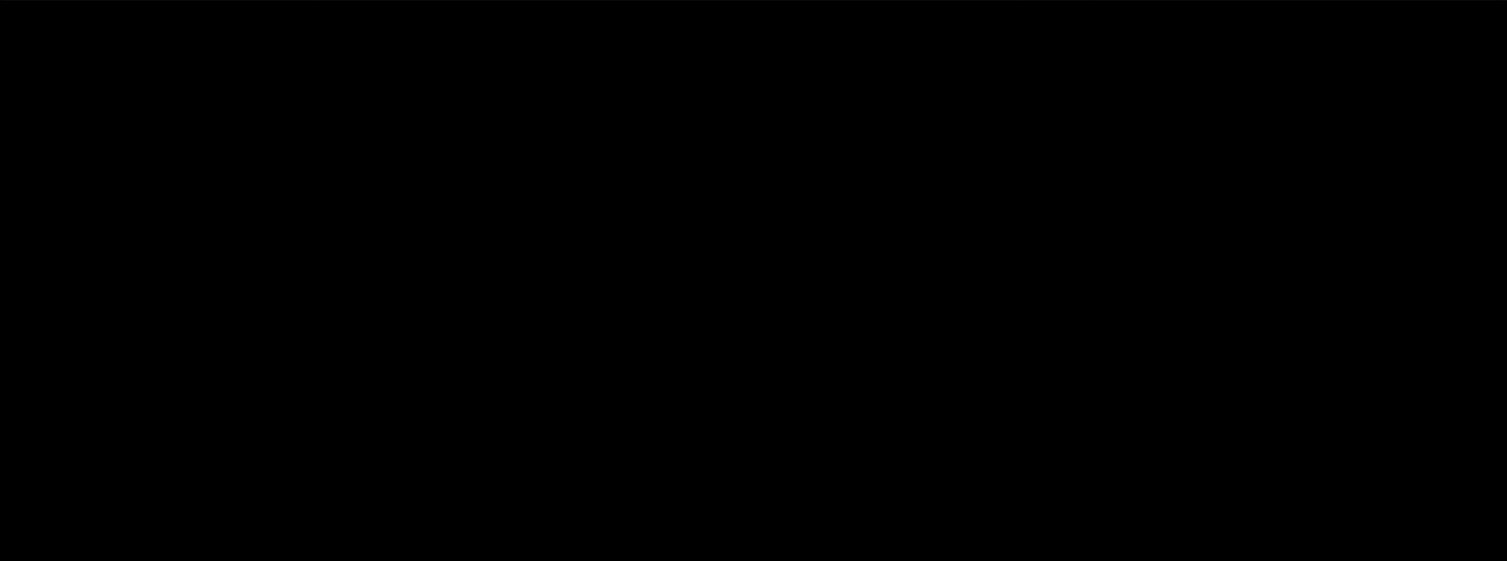


Pipeline Summary

Opportunity Name	Customer Name	Close Date	(%)	Product Name	Actual Assets	Stru
cture BPS/Flat Fee	Actual Revenue	Sales Team Member				

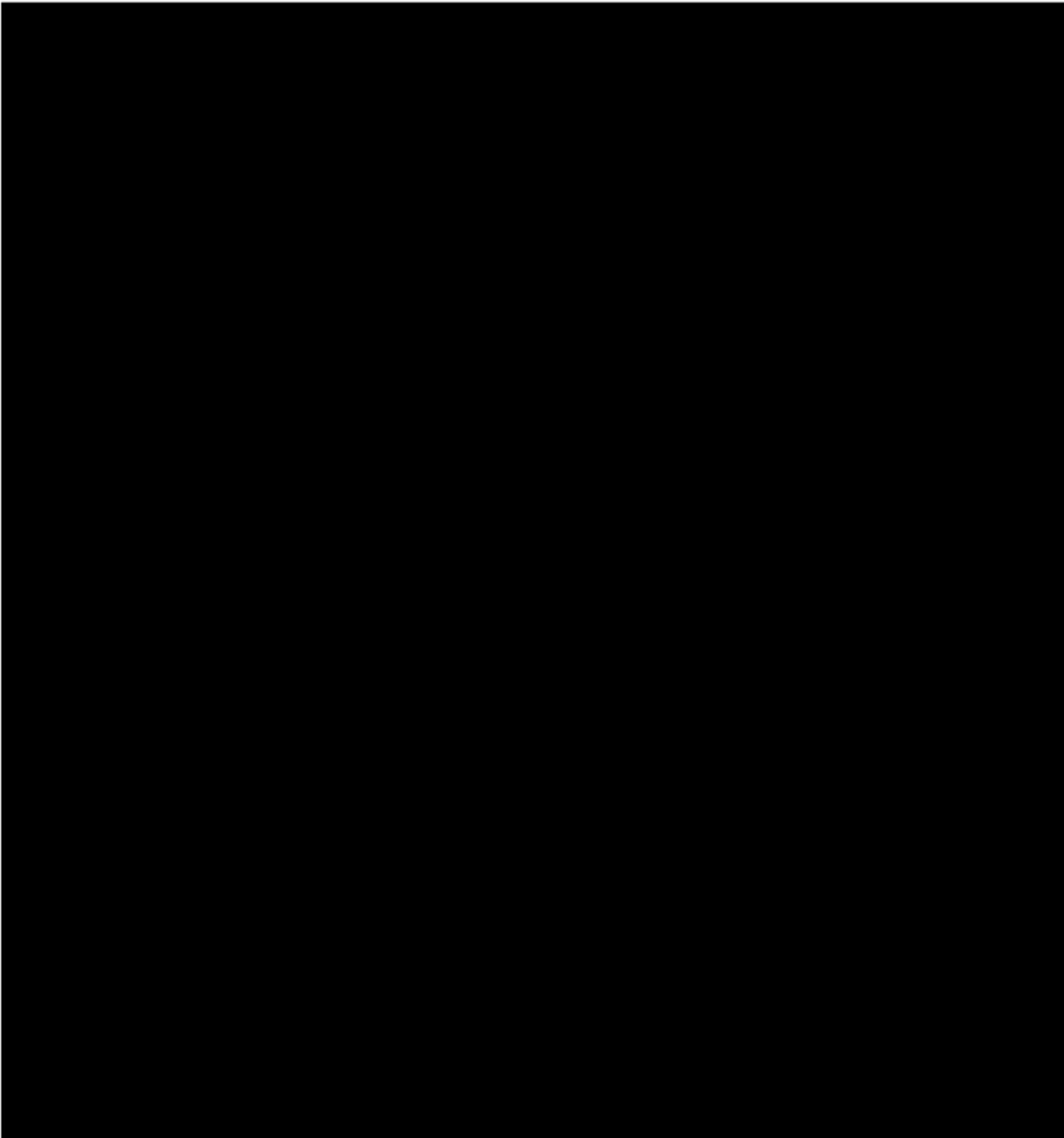


Additional Brokerage	Southern Financial LLC	3/31/2015	75	Brokerage (Commissions)	7500	
0000 Flat Fee	2000000	2000000	Paul Morris			
Brokerage Account	Southern Financial LLC	12/31/2015	75	Brokerage	10000000	
BPS 20	20000	Paul Morris				
SSW 2007 LLC-	SSW 2007 LLC	12/31/2015	75	Private Wealth Premium Money Market	5000	
0000 BPS 40	200000	Paul Morris				



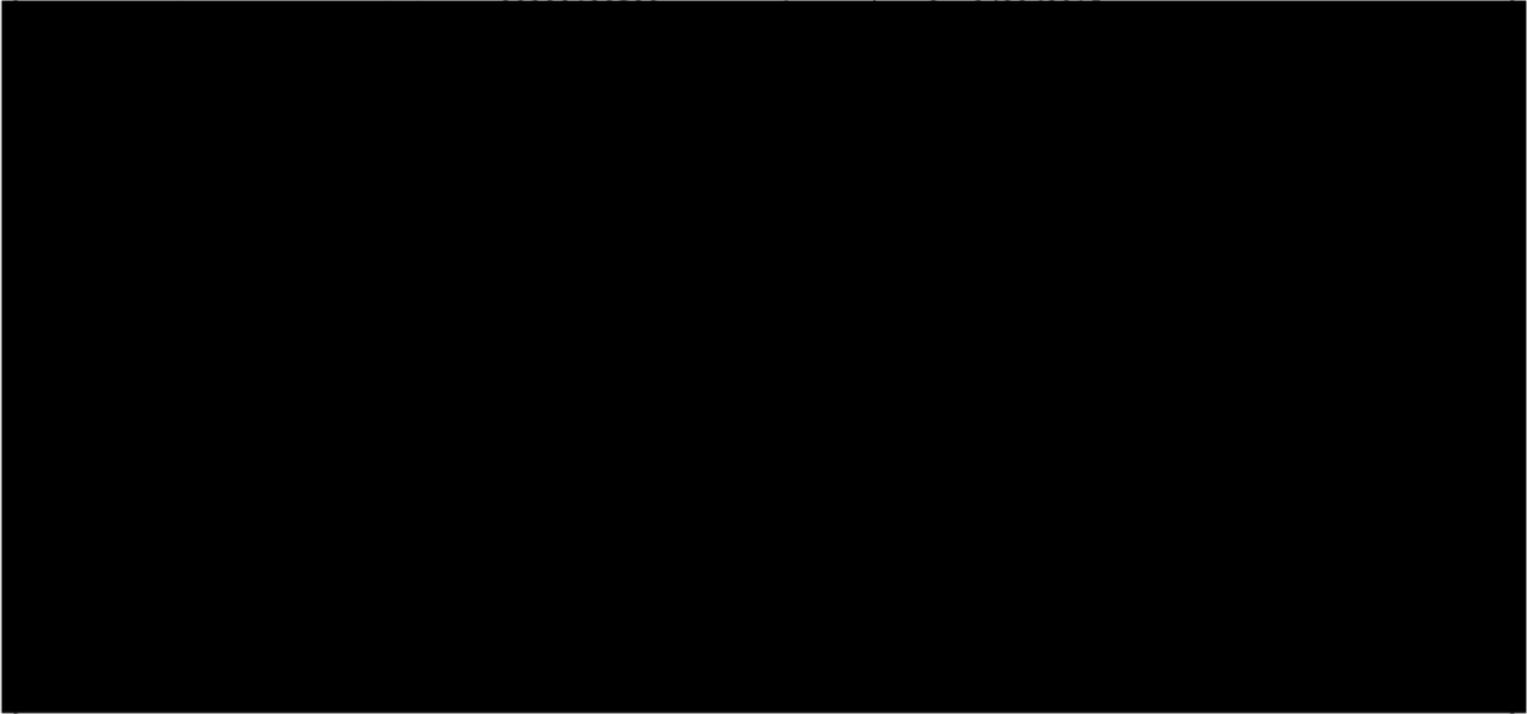
Paul 25

Customer Name	Last Call Note	Customer Number	Status	Relationship Classification	Rel. Net Wor
th	Relationship Investable	Assets (Est.)	Revenue	Potential (\$M per annum)	Last Modifie
d Date	Last Activity Date	Date Contacted	Forbes Ranking	Category	Notes



Stew 25

Customer Name	Last Call Note	Customer Number	Status	Relationship Classification	Rel. Net Wor
th	Relationship Investable	Assets (Est.)	Revenue	Potential (\$M per annum)	Last Modifie
d Date	Last Activity Date	Date Contacted	Category	Notes	



Clients

Customer Name	Last Call Note	Customer Number	Status	Relationship Classification	Last Modified Date	Category
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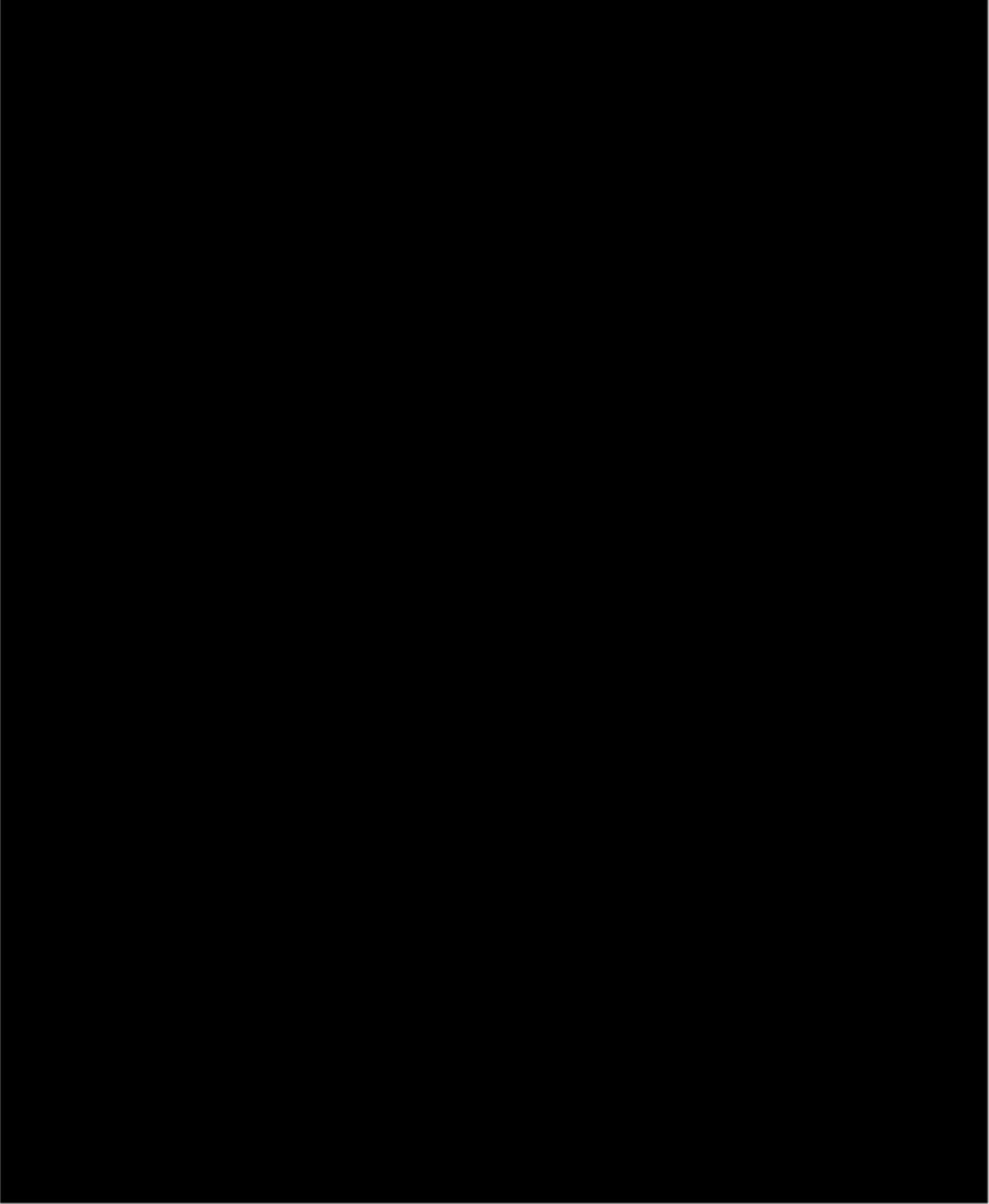
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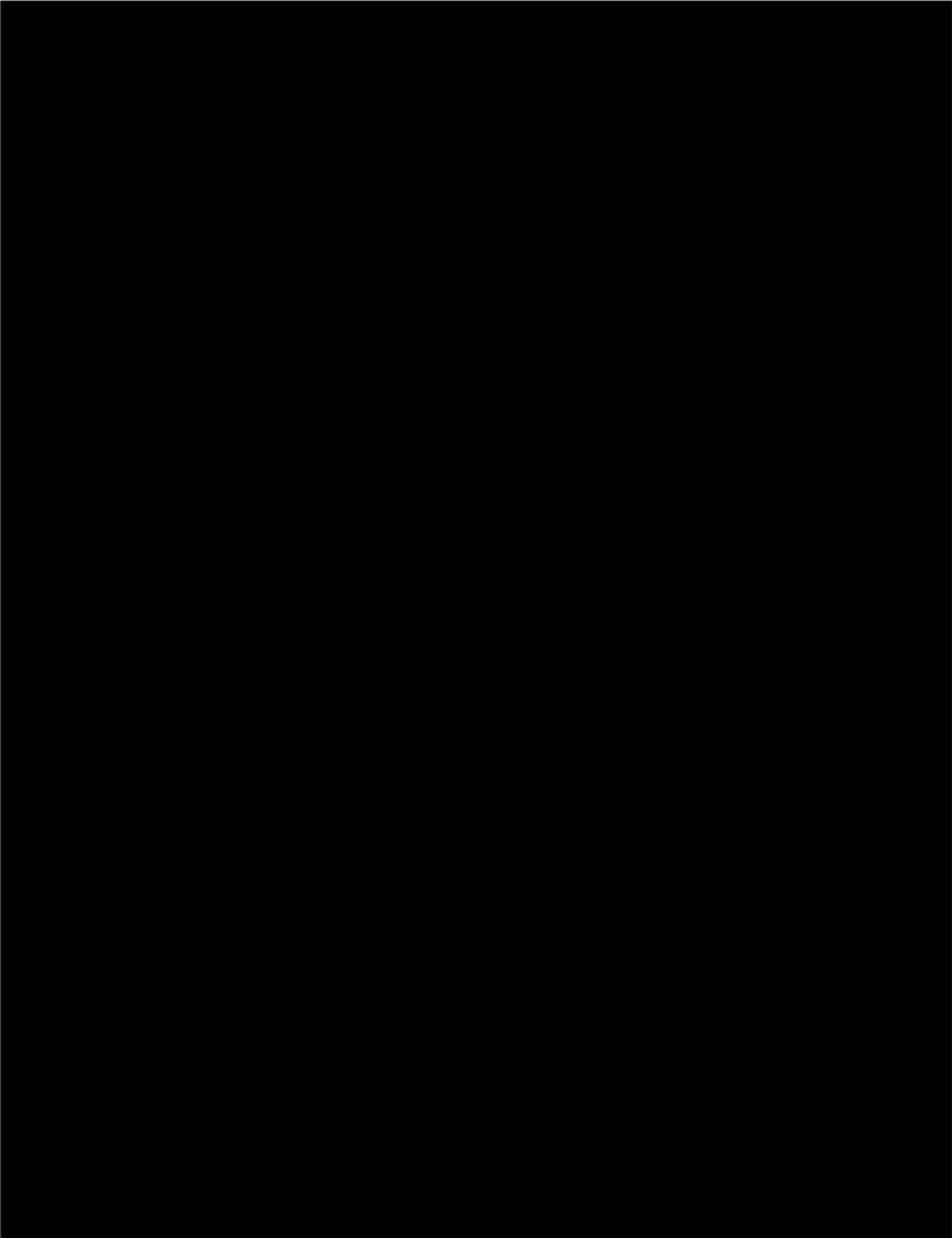


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Prospects

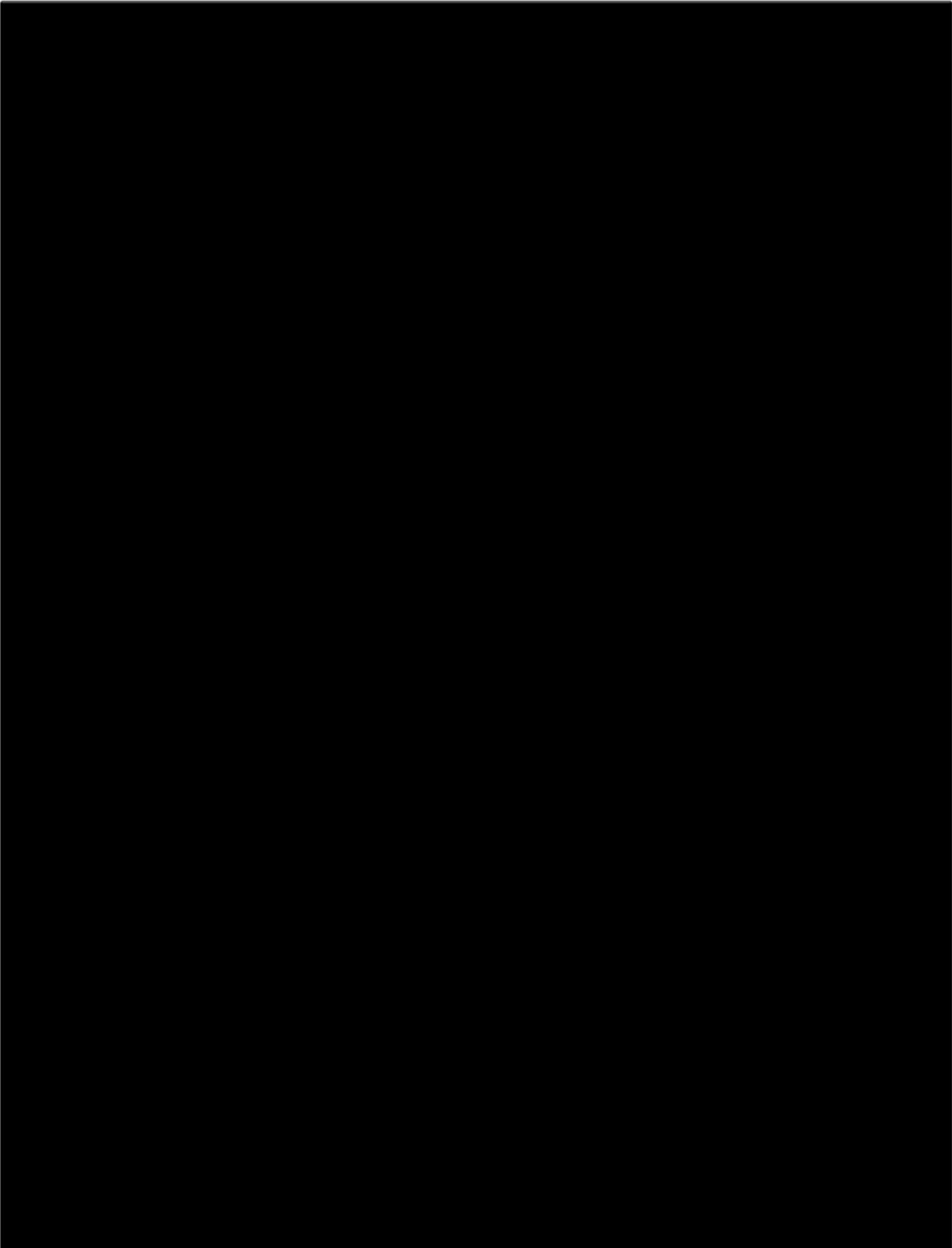
Customer Name	Last Call Note	Customer Number	Status	Relationship Classification	Last Modified Date	Category
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Pipeline- Full							
Opportunity Name	Customer Name	Close Date	(%)	Product Name	Actual Assets	Stru	
cture BPS/Flat Fee	Actual Revenue	Sales Team Member					
KCP Private Markets	Aspen Grove Capital, LLC	9/30/2015	25	Brokerage (Commissio			
ns) 15000000	BPS 5	7500	Paul Morris				
Benefit Street Partners-	Benefit Street Partners	9/30/2015	25	U.S. Structured Lend			
ing (Secured) 30000000	BPS 100	300000	Paul Morris				
Art Lending	Black, Leon D.	9/30/2015	50	U.S. Structured Lending (Secured)			2500
00000 BPS 100	2500000	Paul Morris					
KCP	Black, Leon D.	12/31/2015	75	Brokerage (Commissions)	50000000	BPS	5
25000	Paul Morris						
Banking	Black, Leon D.	12/31/2015	90	Private Wealth Premium Checking	50000000		BPS
40	200000	Paul Morris					
Credit Line	Blue Mountain Capital Management, LLC	9/30/2015	25	U.S. Letter of Credi			
t 500000000	BPS 100	500000	Paul Morris				
Deposits	Bommer, Scott	9/30/2015	25	Private Wealth Premium Checking	25000000		
BPS 40	100000	Paul Morris					
Residential Mortgage	Bommer, Scott	9/30/2015	25	Standard Mortgage - 5/1 Arm			2500
0000 BPS 100	250000	Paul Morris					
Bronfman, Edgar	Bronfman, Edgar	9/30/2015	25	Private Wealth Premium Checking w/Interest			
25000000	BPS 40	100000	Paul Morris				
Deposits	Bryant Jr., Donald	9/30/2015	25	Private Wealth Premium Checking w/In			
terest 10000000	BPS 40	40000	Paul Morris				
Loan	Bulloch, Roger	12/31/2015	10	U.S. Structured Lending (Secured)			20000000
BPS 100	200000	Stewart Oldfield					
Muni Portfolio	Cavalry Portfolio Services, LLC	9/30/2015	10	Global Select - Fixed Income			
25000000	BPS 50	125000	Paul Morris				
Banking Account	Cavalry Portfolio Services, LLC	9/30/2015	25	Private Wealth Premium Check			
ing 500000000	BPS 40	200000	Paul Morris				
Brokerage	Cavalry Portfolio Services, LLC	9/30/2015	25	Brokerage (Commissions)	1000		
0000 BPS 5	5000	Paul Morris					
Real Estate Financing	Chammah, Ezra	9/30/2015	25	Commercial Real Estate	25000000		
BPS 120	300000	Paul Morris					
Brokerage	Cross, Lisa	9/30/2015	10	Brokerage (Commissions)	75000000		BPS
5	37500	Paul Morris					
Share Collars	Cummings, Ian	9/30/2015	50	Brokerage (Commissions)	5000000		Flat Fee
250000 250000	Paul Morris						
Deerpath Capital Management-	Deerpath Capital Management	9/30/2015	10	U.S. Letter			
of Credit 30000000	BPS 100	300000	Paul Morris				
Margin Loan	DF Enterprises	12/31/2015	50	U.S. Secured Lending (Lombard)	200000000		
BPS 100	2000000	Paul Morris					
Proxy Hedge	Elysium Management	12/31/2015	25	Derivatives (Equity - Option)			2500
00000 BPS 100	2500000	Jj Litchford					
Cash Management	Elysium Management	12/31/2015	50	U.S. IA - RCM	50000000		BPS
25	125000	Paul Morris					
Credit Line	Ergen, Charles	9/30/2015	25	U.S. Structured Lending (Secured)			3000
00000 BPS 100	3000000	Paul Morris					
Brokerage	Ergen, Charles	9/30/2015	50	Brokerage (Commissions)	50000000		BPS
5	25000	Paul Morris					
Deposits	Ergen, Charles	9/30/2015	50	Private Wealth Premium Checking w/Interest			
50000000	BPS 40	200000	Paul Morris				
Estate of Gerard Basquiat-	Estate of Gerard Basquiat	9/30/2015	10	U.S. Structu			
red Lending (Secured) 50000000	BPS 100	500000	Paul Morris				
KKR	EverWatch Financial	12/31/2015	75	Private Equity Funds	5000000		Flat Fee
75000 75000	Paul Morris						
CLO 2	Falcon Trail Capital, LLC	6/30/2015	50	Derivatives (Equity - Swap)			5000
000 BPS 200	100000	Paul Morris					
CLO	Falcon Trail Capital, LLC	6/30/2015	50	Derivatives (Equity - Swap)			5000
000 BPS 200	100000	Paul Morris					
Fitzgibbons, John-	Fitzgibbons, John	9/30/2015	25	Standard Mortgage - Floating			
Arm 4000000 BPS 100	40000	Paul Morris					
Commercial Mortgage	Fitzgibbons, John	9/30/2015	25	Commercial Real Estate	5000		
000 BPS 100	50000	Paul Morris					
Airplane Loan	Fitzgibbons, John	9/30/2015	10	U.S. Structured Lending (Secured)			
10000000	BPS 100	100000	Paul Morris				
Structured Credit	Fitzgibbons, John	12/31/2015	25	U.S. Letter of Credit	5000		
0000 BPS 200	1000000	Paul Morris					
Gaslow, Lawrence-	Gaslow, Lawrence	9/30/2015	50	Private Wealth Premium Check			
ing 25000000	BPS 40	100000	Paul Morris				
Gaslow, Peter-	Gaslow, Peter	9/30/2015	50	Brokerage (Commissions)	25000000		BPS
5	12500	Paul Morris					
Ares CLO	General Atlantic Family Office	9/30/2015	25	Structured Notes & Deposits			
(Equity) 3000000	Flat Fee 200000	200000	Paul Morris				
Gerschel, Patrick-	Gerschel, Patrick	9/30/2015	25	Brokerage (Commissions)	1500		
0000 BPS 5	7500	Paul Morris					
Commerical Real Estate	Gottesman, Noam	12/31/2015	50	Commercial Real Estate	50000000		
BPS 200	1000000	Paul Morris					
Brokerage	Gratitude America	12/31/2015	75	Brokerage (Asset-Based Fees) - Advis			
or Select 10000000	BPS 20	20000	Paul Morris				



Suntex Southern Financial LLC 12/31/2015 25 Brokerage (Commissions) 5000000 Flat Fee
0 Paul Morris
Brokerage Account Southern Financial LLC 12/31/2015 75 Brokerage (Asset-Based Fees)
- Advisor Select 10000000 BPS 20 20000 Paul Morris