

Q4 High Probability Pipeline								
Opportunity Name	Customer Name	Close Date	(%)	Product Name	Actual Assets	Stru		
cture	BPS/Flat Fee	Actual Revenue	Sales Team Member	Estimated Month	# 2015	Est 2015	Rev	
Est 2016	Rev							
KCP	Black, Leon D.	12/31/2015	75	Brokerage	50000000	BPS	5	2500
0	Morris 1	IF(G2="BPS",I2*(K2/12),I2)=2083.333333333333		IF(G2="BPS",I2,0)=25000				
Banking	Black, Leon D.	12/31/2015	90	Checking	50000000	BPS	40	2000
00	Morris 1	IF(G3="BPS",I3*(K3/12),I3)=16666.666666666666		IF(G3="BPS",I3,0)=200000				
Margin Loan	DF Enterprises	12/31/2015	75	Lombard	25000000	BPS	65	1625
000	Morris 1	IF(G4="BPS",I4*(K4/12),I4)=135416.666666666666		IF(G4="BPS",I4,0)=1625000				
KKR	EverWatch Financial	12/31/2015	75	Private Equity Funds	5000000	Flat Fee		
-	200000	Morris 0	IF(G5="BPS",I5*(K5/12),I5)=200000		IF(G5="BPS",I5,0)=0			
Brokerage	Gratitude America	12/31/2015	75	Brokerage	10000000	BPS		
20	20000	Morris 1	IF(G6="BPS",I6*(K6/12),I6)=1666.6666666666665		IF(G6="BPS",I6,0)=20			
000								
Deposits	Meister, Todd	12/31/2015	75	Money Market	10000000	BPS	35	
35000	Morris 1	IF(G7="BPS",I7*(K7/12),I7)=2916.6666666666665		IF(G7="BPS",I7,0)=35000				
Phoenix America	ORIX Corporation	12/31/2015	75	Private Equity Funds	10000000			
Flat Fee	-	400000	Oldfield	0	IF(G8="BPS",I8*(K8/12),I8)=400000			IF(G
8="BPS",I8,0)=0								
Deposits	Parami Capital Management	12/31/2015	75	Money Market	10000000			
BPS	35000	Morris 1	IF(G9="BPS",I9*(K9/12),I9)=2916.6666666666665		IF(G9="BPS",I9,0)=35000			
Goldrush	Parami Capital Management	12/31/2015	75	Structured Lending			9000	
0000	BPS	1235	13365000	Morris 1	IF(G10="BPS",I10*(K10/12),I10)=1113750			IF(G
10="BPS",I10,0)=13365000								
Structured Notes	SK Family Office	12/31/2015	75	Structured Notes			3000	
000	Flat Fee	-	45000	Morris 0	IF(G11="BPS",I11*(K11/12),I11)=45000			IF(G
11="BPS",I11,0)=0								
Loan	SK Family Office	12/31/2015	75	Structured Lending	5000000	BPS	200	
100000	Morris 1	IF(G12="BPS",I12*(K12/12),I12)=8333.333333333333		IF(G12="BPS",I12,0)=100000				
Additional Brokerage	Southern Financial LLC	12/31/2015	75	Brokerage	75000000			
BPS	20	F13*(H13/10000)=150000	Morris 1	IF(G13="BPS",I13*(K13/12),I13)=12500				IF(G
13="BPS",I13,0)=150000								
Brokerage Account	Southern Financial LLC	12/31/2015	75	Brokerage	10000000			
BPS	20	20000	Morris 1	IF(G14="BPS",I14*(K14/12),I14)=1666.6666666666665				IF(G
14="BPS",I14,0)=20000								
SSW 2007 LLC-	SSW 2007 LLC	12/31/2015	75	Money Market	50000000	BPS	40	
200000	Morris 1	IF(G15="BPS",I15*(K15/12),I15)=16666.666666666666		IF(G15="BPS",I15,0)=200000				
Deposits	The George Lindemann Fam LP	12/31/2015	90	Money Market	1000000	BPS		
35	3500	Oldfield	2	IF(G16="BPS",I16*(K16/12),I16)=583.3333333333333				IF(G
16="BPS",I16,0)=3500								
ETE Brokerage S2	The George Lindemann Fam LP	12/31/2015	90	Brokerage			3000	
0000	BPS	20	60000	Oldfield	1	IF(G17="BPS",I17*(K17/12),I17)=5000		IF(G
17="BPS",I17,0)=60000								
ETE loan S2	The George Lindemann Fam LP	12/31/2015	90	Lombard	20000000	BPS		
135	270000	Oldfield	1	IF(G18="BPS",I18*(K18/12),I18)=22500				IF(G18="BPS",I18,0)=
270000								
DPM	The Haze Trust	12/31/2015	90	IA - Equity	25000000	BPS	35	8750
0	Morris 1	IF(G19="BPS",I19*(K19/12),I19)=7291.666666666666		IF(G19="BPS",I19,0)=87500				
Panda	Third Lake Capital	12/31/2015	75	Private Equity Funds	15000000	BPS		
150	225000	Morris 1	IF(G20="BPS",I20*(K20/12),I20)=18750		IF(G20="BPS",I20,0)=225000			
Phoenix America	Third Lake Capital	12/31/2015	75	Private Equity Funds	15000000			
BPS	150	225000	Morris 1	IF(G21="BPS",I21*(K21/12),I21)=18750				IF(G21="BPS",I21,0)=
225000								
Fixed Income	Third Lake Capital	12/31/2015	75	IA - FI	100000000	BPS	35	
350000	Morris 1	IF(G22="BPS",I22*(K22/12),I22)=29166.666666666666		IF(G22="BPS",I22,0)=350000				
Preferred CD	Third Lake Capital	12/31/2015	90	Preferred CD	200000000	Flat		
Fee	50	1000000	Morris 1.5	IF(G23="BPS",I23*(K23/12),I23)=1000000				IF(G23="BPS",I23,0)=
0								
Brokerage	Wanek Trust of 2000	12/31/2015	90	Brokerage	5000000	BPS	5	
2500	Morris 1	IF(G24="BPS",I24*(K24/12),I24)=208.33333333333331		IF(G24="BPS",I24,0)=2500				
RIN	General Atlantic	12/31/2015	75	Structured Notes	3000000	Flat Fee		
-	90000	Morris 0	IF(G25="BPS",I25*(K25/12),I25)=90000		IF(G25="BPS",I25,0)=0			
JTWROS Brokerage	Wanek, Karen A.	12/31/2015	90	Brokerage	5000000	BPS	20	
10000	Morris 1	IF(G26="BPS",I26*(K26/12),I26)=833.3333333333333		IF(G26="BPS",I26,0)=10000				
SUM(F2:F26)=1.047E9		SUM(I2:I26)=18743500		SUM(L2:L26)=3152666.666666667		SUM(M2:M26)=17008500		

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
3 G CAPITAL RELATIONSHIP		00000492967	Active	Tier 2	##### H
AVISTA RELATIONSHIP	5/16/2013	00000408824	Active	Tier 3	\$25 - 50 M <\$0.5 M ####
#### H					
BLUE MOUNTAIN RELATIONSHIP		00000494553	Active	Tier 2	##### H
BOMMER, SCOTT RELATIONSHIP		00000482412	Active	Tier 3	##### H
BRONFMAN, EDGAR RELATIONSHIP		00000482491	Active	Tier 2	##### H
CAVALRY RELATIONSHIP	00000483810	Active	Tier 1	##### H	
CUMMINGS, IAN RELATIONSHIP		00000481149	Active	Tier 1	\$100 - 500 M \$250 - 500K ####
#### H					
DELL, MICHAEL RELATIONSHIP	1/6/2015	00000409133	Active	Tier 1	\$50 - 100 M \$0.5
- 1 M ##### H					
DINAN, JAMIE RELATIONSHIP		00000482458	Active	Tier 3	##### H
ERGEN, CHARLES RELATIONSHIP	7/9/2013	00000448035	Active	Tier 1	\$50 - 100 M \$0.5
- 1 M ##### H					
FELDSTEIN, ANDREW RELATIONSHIP		00000480417	Active	Tier 2	\$50 - 100 M \$50 - 100K ####
#### H					
GAGOSIAN, LARRY RELATIONSHIP	1/12/2015	00000416916	Active	Tier 3	##### H
GATES FOUNDATION RELATIONSHIP		00000487611	Active	Tier 2	##### H
LAFFONT, PHILIPPE RELATIONSHIP		00000482519	Active	Tier 2	##### H
MANDEL, STEPHEN RELATIONSHIP	12/20/2012	00000409312	Active	Tier 1	\$50 - 100 M \$0.5
- 1 M ##### H					
MARRON, DONALD B. RELATIONSHIP		00000487026	Active	Tier 3	##### H
PINE RIVER CAPITAL RELATIONSHIP		00000495627	Active	Tier 2	##### H
SCHAEFER, MARLA RELATIONSHIP		00000482432	Active	Tier 2	##### H
SIRIS CAPITAL RELATIONSHIP		00000485211	Active	Tier 3	##### H
STREAM REALTY RELATIONSHIP		00000495565	Active	Tier 2	##### H
TABLADA, MARO RELATIONSHIP		00000482398	Active	Tier 2	##### H
TOMS CAPITAL LLC RELATIONSHIP	6/3/2013	00000409286	Active	Tier 1	##### H
VIOLA, VINCENT RELATIONSHIP		00000481140	Active	Tier 2	\$50 - 100 M \$100 - 250K ####
#### H					
WEISS, GEORGE RELATIONSHIP		00000480421	Active	Tier 2	\$50 - 100 M \$100 - 250K ####
#### H					
YORKTOWN PARTNERS, LLC RELATIONSHIP		00000483947	Active	Tier 3	##### H
ALAGAPPAN, ARUN RELATIONSHIP		00000482385	Active	Tier 1	##### H
AMOROUSO, PAUL RELATIONSHIP		00000482396	Inactive	Tier 2	##### H
ARROWPOINT PARTNERS RELATIONSHIP		00000493738	Active	Tier 2	##### H
ASPEN GROVE CAPITAL RELATIONSHIP		00000493757	Active	Tier 2	##### H
ASTON, SHERRELL RELATIONSHIP		00000482400	Active	Tier 2	##### H
ATLAS PIPELINE PARTNERS, LP RELATIONSHIP		00000495788	Active	Tier 2	##### H
BARRY, MITCHELL RELATIONSHIP		00000482402	Active	Tier 2	##### H
BASQUIAT RELATIONSHIP	00000486597	Active	Tier 2	##### H	
BENEFIT STREET PARTNERS RELATIONSHIP		00000494492	Active	Tier 2	##### H
BERTAGNA, ROBERT RELATIONSHIP		00000482406	Inactive	Tier 2	##### H
BHALLA, AJAY RELATIONSHIP		00000482389	Active	Tier 2	##### H
BLACK, LEON D. RELATIONSHIP		00000409101	Inactive	Tier 1	\$50 - 100 M <\$25K ####
#### H					
BLATT, MITCHELL RELATIONSHIP		00000482408	Active	Tier 2	##### H
BRACK CAPITAL RELATIONSHIP		00000507983	Active	Tier 2	##### H
BRADLEY, THOMAS RELATIONSHIP		00000482414	Active	Tier 2	##### H
BRANDIS, STEVE RELATIONSHIP		00000482416	Active	Tier 2	##### H
BRESLOW, LEN RELATIONSHIP		00000482420	Inactive	Tier 2	##### H
BROWN, BATES RELATIONSHIP		00000482426	Inactive	Tier 2	##### H
BRUDERMAN, MATTHEW RELATIONSHIP		00000482429	Inactive	Tier 2	##### H
CANDOVER INVESTMENTS RELATIONSHIP		00000483659	Inactive	Tier 2	##### H
CANTER, STEPHEN RELATIONSHIP		00000481394	Inactive	Tier 2	##### H
CHOU, SILAS RELATIONSHIP		00000482437	Active	Tier 1	##### H
CLINE, MICHAEL RELATIONSHIP		00000482481	Active	Tier 2	##### H
COLD SPRING HARBOR LABORATORY RELATIONSHIP		00000481396	Active	Tier 2	\$50 - 100 M \$50
- 100K #####					
COOPER, FRED RELATIONSHIP		00000482464	Active	Tier 3	##### H
CORRIGAN, PATTON RELATIONSHIP		00000481136	Active	Tier 3	\$10 - 25 M \$25 - 50K ####
#### H					
CROSS, LISA RELATIONSHIP		00000487462	Active	Tier 2	##### H
DANIELS, JOSEPH RELATIONSHIP		00000482485	Inactive	Tier 2	##### H
DENATALE, ROBERT RELATIONSHIP		00000482487	Inactive	Tier 2	##### H
DODD, RYAN RELATIONSHIP	00000482489	Active	Tier 2	##### H	
DONALD BRYANT JR. RELATIONSHIP		00000469399	Active	Tier 2	##### H
ELLMAN, STUART RELATIONSHIP		00000482462	Active	Tier 3	##### H
ENCAP INVESTMENTS RELATIONSHIP		00000466131	Active	Tier 2	##### H
FINE, LONNIE RELATIONSHIP		00000482493	Active	Tier 2	##### H
FITZGIBBONS, JOHN RELATIONSHIP		00000482193	Active	Tier 3	##### H
GAIL, COLEMAN RELATIONSHIP		00000482497	Inactive	Tier 2	##### H
GASLOW, LAWRENCE RELATIONSHIP		00000482500	Active	Tier 2	##### H
GEMINI REAL ESTATE RELATIONSHIP		00000492404	Active	Tier 2	##### H
GERSCHEL, PATRICK RELATIONSHIP		00000481147	Active	Tier 2	\$100 - 500 M \$100 - 250K ####

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GLICKMAN, DONALD RELATIONSHIP	00000482505	Active	Tier 2	#####						
GLIMCHER, ARNIE RELATIONSHIP	00000480419	Active	Tier 2	\$25 - 50 M	\$25 - 50K				####	
####										
GOLDMAN, BUDD RELATIONSHIP	00000482509	Active	Tier 2	#####						
GOODWIN, KEIRNAN RELATIONSHIP	00000482456	Active	Tier 3	#####						
HARVEY, BERGER RELATIONSHIP	00000482512	Active	Tier 2	#####						
HATFIELD, JAY RELATIONSHIP	00000482508	Active	Tier 2	#####						
HG CAPITAL RELATIONSHIP	00000483662	Inactive	Tier 2	#####						
HOLTERBOSCH, HEIDI RELATIONSHIP	00000482522	Active	Tier 3	#####						
HUGHSON, PAUL RELATIONSHIP	00000482515	Inactive	Tier 2	#####						
HUSAIN, FAZLE RELATIONSHIP	00000482529	Active	Tier 2	#####						
HYMAN, ED RELATIONSHIP	00000481404	Active	Tier 3	\$10 - 25 M	\$25 - 50K				#####	
ITAFIN RELATIONSHIP	00000498895	Active	Tier 3	#####						
JACK NORRIS RELATIONSHIP	00000451105	Inactive	Tier 2	\$10 - 25 M	>\$2 M				####	
####										
JAIN, NEIL RELATIONSHIP	00000482496	Active	Tier 3	#####						
JESSELSON CAPITAL RELATIONSHIP	00000489088	Active	Tier 2	#####						
JSC INTERIORS LLC RELATIONSHIP	00000496076	Inactive	Tier 2	#####						
KALIKOW, PETER RELATIONSHIP	00000178401	Active	Tier 2	#####						
KARGMAN, HARRY RELATIONSHIP	00000482503	Inactive	Tier 3	#####						
KATZ, STEVEN RELATIONSHIP	00000482472	Inactive	Tier 3	#####						
KEENAN, WILLIAM HOWARD RELATIONSHIP	00000482513	Inactive	Tier 2	#####						
KELLY, JUDY RELATIONSHIP	00000482527	Inactive	Tier 3	#####						
KIMMEL, ADAM RELATIONSHIP	00000482533	Active	Tier 3	#####						
KRISTOFF, MARK RELATIONSHIP	00000482524	Inactive	Tier 3	#####						
LANGFORD, DAVID RELATIONSHIP	00000482518	Inactive	Tier 2	#####						
LICHTENSTEIN, WARREN RELATIONSHIP	00000482267	Active	Tier 2	#####						
LIME ROCK PARTNERS RELATIONSHIP	00000478453	Active	Tier 2	#####						
MEISTER, TODD RELATIONSHIP	00000482449	Active	Tier 2	#####						
MFP INVESTORS LLC RELATIONSHIP	00000410774	Active	Tier 1	\$50 - 100 M	\$50 - 100K				####	
####										
MILCH, NEAL RELATIONSHIP	00000482476	Active	Tier 3	#####						
MILTON ACADEMY RELATIONSHIP	00000483494	Active	Tier 2	#####						
MOODY, ERIK RELATIONSHIP	00000514634	Active	Tier 3	#####						
MURSTEIN, ALVIN RELATIONSHIP	00000481145	Active	Tier 2	\$50 - 100 M	\$50 - 100K				####	
####										
NIR, DAN RELATIONSHIP	00000482454	Active	Tier 3	#####						
OVERSTROM, GUNNAR RELATIONSHIP	00000482474	Active	Tier 3	#####						
OXFORD LANE CAPITAL RELATIONSHIP	00000493740	Active	Tier 2	#####						
PACKER, MARC RELATIONSHIP	00000481318	Active	Tier 2	\$50 - 100 M	\$50 - 100K				####	
####										
PARAMI CAPITAL MANAGEMENT RELATIONSHIP	00000498424	Active	Tier 2	#####						
PATRIOT STRATEGY PARTNERS RELATIONSHIP	00000484400	Active	Tier 2	#####						
PENSLER, SANDY RELATIONSHIP	00000482468	Active	Tier 3	#####						
RICHARDSON, JULIE RELATIONSHIP	00000481328	Active	Tier 2	\$25 - 50 M	\$25 - 50K				####	
####										
ROARK CAPITAL GROUP RELATIONSHIP	00000459563	Active	Tier 2	\$10 - 25 M	\$250 - 500K					
#####										
ROSE, SIMON RELATIONSHIP	00000482444	Active	Tier 3	#####						
SALZMAN, RICHARD RELATIONSHIP	00000482442	Active	Tier 3	#####						
SCF PARTNERS RELATIONSHIP	00000483655	Active	Tier 2	#####						
SCHOR, FRANCIS RELATIONSHIP	00000482430	Inactive	Tier 2	#####						
SCHREIBER, KARL RELATIONSHIP	00000506830	Active	Tier 3	#####						
SHANKEN, MARVIN RELATIONSHIP	00000482424	Active	Tier 2	#####						
SIEGEL, JEROME RELATIONSHIP	00000482422	Active	Tier 2	#####						
SILVESTRI, ANGELO RELATIONSHIP	00000482418	Active	Tier 2	#####						
SIMON, RICHARD M RELATIONSHIP	00000484535	Active	Tier 2	#####						
SK CAPITAL PARTNERS RELATIONSHIP	00000435834	Inactive	Tier 2	#####						
STALLER, CARY RELATIONSHIP	00000482410	Active	Tier 2	#####						
TAXEL, NELSON RELATIONSHIP	00000482391	Inactive	Tier 3	#####						
WHITE DEER ENERGY RELATIONSHIP	00000478302	Active	Tier 2	#####						
WILSON, WELCOME RELATIONSHIP	00000480635	Active	Tier 1	\$100 - 500 M	\$250 - 500K				####	
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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		
ANNANDALE CAPITAL RELATIONSHIP		00000499580	Active	Tier 2	9/20/2015	H
BBR PARTNERS RELATIONSHIP		11/10/2014		00000480937	Active Tier 2	<\$25K 9/20/2015
H						
BLUESTEM LLC RELATIONSHIP		00000499584	Active	Tier 3	9/20/2015	H
CARUSO, RICHARD RELATIONSHIP		1/6/2015		00000411476	Active Tier 2	\$10 - 25 M <\$25
K	9/20/2015	H				
CFM RELATIONSHIP		00000508292	Active	Tier 2	9/20/2015	H
COLLIS, CHARLES RELATIONSHIP		00000499562	Active	Tier 2	9/20/2015	H
DORRANCE FAMILY RELATIONSHIP		8/3/2015		00000409820	Inactive	Tier 1 1.5E9 \$100
- 500 M	\$25 - 50K	9/20/2015				H
DUNCAN INVESTMENTS RELATIONSHIP		00000499619	Active	Tier 2	9/20/2015	H
FORRESTAL CAPITAL RELATIONSHIP		2/18/2015		00000475431	Active Tier 1	9/20/2015 H
GEORGETOWN UNIVERSITY RELATIONSHIP		00000495959	Active	Tier 2	9/20/2015	H
GETZ FAMILY RELATIONSHIP		8/19/2015		00000421545	Inactive	Tier 1 \$100 - 500 M
\$250 - 500K	9/20/2015	H				
HIGHLANDER PARTNERS RELATIONSHIP		00000499594	Active	Tier 2	9/20/2015	H
KIM, STEVEN RELATIONSHIP		00000499732	Active	Tier 2	9/20/2015	H
MAKENA CAPITAL MANAGMENT, LLC RELATIONSHIP		00000499849	Active	Tier 2	9/20/2015	H
ORIX RELATIONSHIP		00000497520	Active	Tier 2	9/20/2015	H
ROGER BULLOCH RELATIONSHIP		00000514745	Active	Tier 2	9/20/2015	H
SCHMIDT, ERIC RELATIONSHIP		12/4/2014		00000409366	Active Tier 2	>\$500 M <\$0.5 M 9/20
/2015	H					
SHAMROCK RELATIONSHIP		00000508301	Active	Tier 2	9/20/2015	H
SLOME, IAN RELATIONSHIP		00000499573	Active	Tier 2	9/20/2015	H
SNYDER, DANIEL RELATIONSHIP		00000495876	Active	Tier 2	9/20/2015	H
SONEN CAPITAL RELATIONSHIP		00000507994	Active	Tier 2	9/20/2015	H
SPRUCE PRIVATE INVESTORS LLC RELATIONSHIP		11/3/2014		00000416313	Active Tier 3	\$10
- 25 M <\$25K	9/20/2015	H				

Clients

Customer Name	Last Call Note	Customer Number	Status	Relationship	Classification	Last Modified Date	Category
BLANK, ARTHUR M.	RELATIONSHIP	8/3/2015	00000409087	Active	Tier 2	9/20/2015	H
BOIES FAMILY	RELATIONSHIP	8/3/2015	00000474263	Active	Tier 2	9/20/2015	H
DZIALGA, KIRSTEN & MARK	RELATIONSHIP	00000492969	Active	Tier 2	10/19/2015		H
GENERAL ATLANTIC FAMILY OFFICE	RELATIONSHIP		00000492971	Active	Tier 2	9/20/2015	H
THIRD LAKE CAPITAL	RELATIONSHIP	10/1/2014	00000490359	Active	Tier 2	9/20/2015	H
TISCH FAMILY	RELATIONSHIP	7/22/2013	00000409409	Active	Tier 1	9/20/2015	B
ELLIN, HOWARD	RELATIONSHIP	8/3/2015	00000474212	Active	Tier 3	9/20/2015	
ELYSIUM MANAGEMENT	RELATIONSHIP	00000483288	Active	Tier 2		9/20/2015	
KLEIN, LISA	RELATIONSHIP	12/14/2012	00000440552	Active	Tier 3	10/19/2015	
LINDEMANN FAMILY	RELATIONSHIP	2/6/2015	00000427075	Active	Tier 3	10/19/2015	
SK FAMILY OFFICE	RELATIONSHIP	00000481998	Active	Tier 1		9/20/2015	
SOUTHERN FINANCIAL	RELATIONSHIP	00000483290	Active	Tier 1		10/19/2015	
THE NATIONAL ORGANIZATION OF THE NEW APOSTOLIC CHURCH OF NORTH AMERICA	RELATIONSHIP						8/3/2015
00000499740	Active	Tier 2				9/20/2015	

Pospects							
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3 G CAPITAL RELATIONSHIP		00000492967	Active	Tier 2	9/20/2015		H
ANNANDALE CAPITAL RELATIONSHIP		00000499580	Active	Tier 2	9/20/2015		H
AVISTA RELATIONSHIP	5/16/2013	00000408824	Active	Tier 3	9/20/2015		H
BBR PARTNERS RELATIONSHIP	11/10/2014	00000480937	Active	Tier 2	9/20/2015		H
BLUE MOUNTAIN RELATIONSHIP		00000494553	Active	Tier 2	9/20/2015		H
BLUESTEM LLC RELATIONSHIP		00000499584	Active	Tier 3	9/20/2015		H
BOMMER, SCOTT RELATIONSHIP		00000482412	Active	Tier 3	9/20/2015		H
BRONFMAN, EDGAR RELATIONSHIP		00000482491	Active	Tier 2	9/20/2015		H
CARUSO, RICHARD RELATIONSHIP	1/6/2015	00000411476	Active	Tier 2	9/20/2015		H
CAVALRY RELATIONSHIP	00000483810	Active	Tier 1	9/20/2015		H	
CFM RELATIONSHIP	00000508292	Active	Tier 2	9/20/2015		H	
COLLIS, CHARLES RELATIONSHIP	00000499562	Active	Tier 2	9/20/2015		H	
CUMMINGS, IAN RELATIONSHIP	00000481149	Active	Tier 1	9/20/2015		H	
DELL, MICHAEL RELATIONSHIP	1/6/2014	00000409133	Active	Tier 1	9/20/2015		H
DINAN, JAMIE RELATIONSHIP	00000482458	Active	Tier 3	9/20/2015		H	
DORRANCE FAMILY RELATIONSHIP	8/3/2015	00000409820	Inactive		Tier 1	9/20/2015	
DUNCAN INVESTMENTS RELATIONSHIP	00000499619	Active	Tier 2	9/20/2015		H	
ERGEN, CHARLES RELATIONSHIP	7/9/2013	00000448035	Active	Tier 1	9/20/2015		H
FELDSTEIN, ANDREW RELATIONSHIP	00000480417	Active	Tier 2	9/20/2015		H	
FORRESTAL CAPITAL RELATIONSHIP	2/18/2015	00000475431	Active	Tier 1	9/20/2015		H
GAGOSIAN, LARRY RELATIONSHIP	1/12/2015	00000416916	Active	Tier 3	9/20/2015		H
GATES FOUNDATION RELATIONSHIP	00000487611	Active	Tier 2	9/20/2015		H	
GEORGETOWN UNIVERSITY RELATIONSHIP	00000495959	Active	Tier 2	9/20/2015		H	
GETZ FAMILY RELATIONSHIP	8/19/2015	00000421545	Inactive		Tier 1	9/20/2015	
HIGHLANDER PARTNERS RELATIONSHIP	00000499594	Active	Tier 2	9/20/2015		H	
KIM, STEVEN RELATIONSHIP	00000499732	Active	Tier 2	9/20/2015		H	
LAFFONT, PHILIPPE RELATIONSHIP	00000482519	Active	Tier 2	9/20/2015		H	
MAKENA CAPITAL MANAGMENT, LLC RELATIONSHIP	00000499849	Active	Tier 2	9/20/2015		H	
MANDEL, STEPHEN RELATIONSHIP	12/20/2012	00000409312	Active	Tier 1	9/20/2015		H
MARRON, DONALD B. RELATIONSHIP	00000487026	Active	Tier 3	9/20/2015		H	
ORIX RELATIONSHIP	00000497520	Active	Tier 2	9/20/2015		H	
PINE RIVER CAPITAL RELATIONSHIP	00000495627	Active	Tier 2	9/20/2015		H	
ROGER BULLOCH RELATIONSHIP	00000514745	Active	Tier 2	9/20/2015		H	
SCHAEFER, MARLA RELATIONSHIP	00000482432	Active	Tier 2	9/20/2015		H	
SCHMIDT, ERIC RELATIONSHIP	12/4/2014	00000409366	Active	Tier 2	9/20/2015		H
SHAMROCK RELATIONSHIP	00000508301	Active	Tier 2	9/20/2015		H	
SIRIS CAPITAL RELATIONSHIP	00000485211	Active	Tier 3	9/20/2015		H	
SLOME, IAN RELATIONSHIP	00000499573	Active	Tier 2	9/20/2015		H	
SNYDER, DANIEL RELATIONSHIP	7/3/2015	00000495876	Active	Tier 2	9/20/2015		H
SONEN CAPITAL RELATIONSHIP	00000507994	Active	Tier 2	9/20/2015		H	
SPRUCE PRIVATE INVESTORS LLC RELATIONSHIP	11/3/2014	00000416313	Active	Tier 3	9/20/2015		H
STREAM REALTY RELATIONSHIP	00000495565	Active	Tier 2	9/20/2015		H	
TABLADA, MARO RELATIONSHIP	00000482398	Active	Tier 2	9/20/2015		H	
TOMS CAPITAL LLC RELATIONSHIP	6/3/2013	00000409286	Active	Tier 1	9/20/2015		H
VIOLA, VINCENT RELATIONSHIP	00000481140	Active	Tier 2	9/20/2015		H	
WEISS, GEORGE RELATIONSHIP	00000480421	Active	Tier 2	9/20/2015		H	
YORKTOWN PARTNERS, LLC RELATIONSHIP	00000483947	Active	Tier 3	9/20/2015		H	
DELUCA, FREDERICK RELATIONSHIP	11/5/2014	00000409192	Inactive		Tier 1	9/20/2015	
54 MADISON PARTNERS RELATIONSHIP	00000520240	Active	Tier 1	10/14/2015			
ALAGAPPAN, ARUN RELATIONSHIP	00000482385	Active	Tier 1	9/20/2015			
AMOROUSO, PAUL RELATIONSHIP	00000482396	Inactive		Tier 2	9/20/2015		
ARCHSTONE MULTIFAMILY PARTNERS AC, LP RELATIONSHIP	11/5/2014	00000469740	Inactive				
ARDEN ASSET MGMT RELATIONSHIP	00000499582	Active	Tier 2	9/20/2015			
ARROWPOINT PARTNERS RELATIONSHIP	00000493738	Active	Tier 2	9/20/2015			
ASPEN GROVE CAPITAL RELATIONSHIP	00000493757	Active	Tier 2	9/20/2015			
ASTON, SHERRELL RELATIONSHIP	00000482400	Active	Tier 2	9/20/2015			
ATLAS PIPELINE PARTNERS, LP RELATIONSHIP	00000495788	Active	Tier 2	9/20/2015			
BARRY, MITCHELL RELATIONSHIP	00000482402	Active	Tier 2	9/20/2015			
BASQUIAT RELATIONSHIP	00000486597	Active	Tier 2	9/20/2015			
BENEFIT STREET PARTNERS RELATIONSHIP	00000494492	Active	Tier 2	9/20/2015			
BERTAGNA, ROBERT RELATIONSHIP	00000482406	Inactive		Tier 2	9/20/2015		
BHALLA, AJAY RELATIONSHIP	00000482389	Active	Tier 2	9/20/2015			
BLACK, LEON D. RELATIONSHIP	6/5/2013	00000409101	Inactive		Tier 1	9/20/2015	
BLATT, MITCHELL RELATIONSHIP	00000482408	Active	Tier 2	9/20/2015			
BRACK CAPITAL RELATIONSHIP	00000507983	Active	Tier 2	9/20/2015			
BRADLEY, THOMAS RELATIONSHIP	00000482414	Active	Tier 2	9/20/2015			
BRANDIS, STEVE RELATIONSHIP	00000482416	Active	Tier 2	9/20/2015			
BRESLOW, LEN RELATIONSHIP	00000482420	Inactive		Tier 2	9/20/2015		
BRIGHT GROUP RELATIONSHIP	00000499587	Active	Tier 3	9/20/2015			
BROWN, BATES RELATIONSHIP	00000482426	Inactive		Tier 2	9/20/2015		
BRUDERMAN, MATTHEW RELATIONSHIP	00000482429	Inactive		Tier 2	9/20/2015		

CANDOVER INVESTMENTS RELATIONSHIP	00000483659	Inactive		Tier 2	9/20/2015
CANTER, STEPHEN RELATIONSHIP	00000481394	Inactive		Tier 2	9/20/2015
CHOU, SILAS RELATIONSHIP	00000482437	Active	Tier 1		9/20/2015
CLINE, MICHAEL RELATIONSHIP	00000482481	Active	Tier 2		9/20/2015
COLD SPRING HARBOR LABORATORY RELATIONSHIP	00000481396	Active	Tier 2		9/20/2015
COOPER, FRED RELATIONSHIP	00000482464	Active	Tier 3		9/20/2015
CORRIGAN, PATTON RELATIONSHIP	00000481136	Active	Tier 3		9/20/2015
COX, BERRY RELATIONSHIP	00000495990	Active	Tier 3		9/20/2015
CROSS, LISA RELATIONSHIP	00000487462	Active	Tier 2		9/20/2015
CV STARR RELATIONSHIP	00000499589	Active	Tier 3		9/20/2015
DANIELS, JOSEPH RELATIONSHIP	00000482485	Inactive		Tier 2	9/20/2015
DENATALE, ROBERT RELATIONSHIP	00000482487	Inactive		Tier 2	9/20/2015
DOCK STREET CAPITAL RELATIONSHIP	00000520273	Active	Tier 1		10/16/2015
DODD, RYAN RELATIONSHIP	00000482489	Active	Tier 2		9/20/2015
DONALD BRYANT JR. RELATIONSHIP	6/1/2013	00000469399	Active	Tier 2	9/20/2015
ELLMAN, STUART RELATIONSHIP	00000482462	Active	Tier 3		9/20/2015
ENCAP INVESTMENTS RELATIONSHIP	5/16/2013	00000466131	Active	Tier 2	9/20/2015
FINE, LONNIE RELATIONSHIP	00000482493	Active	Tier 2		9/20/2015
FITZGIBBONS, JOHN RELATIONSHIP	00000482193	Active	Tier 3		9/20/2015
FORD, GERALD J RELATIONSHIP	2/18/2015	00000409212	Active	Tier 1	9/20/2015
GAIL, COLEMAN RELATIONSHIP	00000482497	Inactive		Tier 2	9/20/2015
GASLOW, LAWRENCE RELATIONSHIP	00000482500	Active	Tier 2		9/20/2015
GEMINI REAL ESTATE RELATIONSHIP	00000492404	Active	Tier 2		9/20/2015
GERSCHEL, PATRICK RELATIONSHIP	00000481147	Active	Tier 2		9/20/2015
GLICKMAN, DONALD RELATIONSHIP	00000482505	Active	Tier 2		9/20/2015
GLIMCHER, ARNIE RELATIONSHIP	00000480419	Active	Tier 2		9/20/2015
GOLDMAN, BUDD RELATIONSHIP	00000482509	Active	Tier 2		9/20/2015
GOODWIN, KEIRNAN RELATIONSHIP	00000482456	Active	Tier 3		9/20/2015
GRANDWAY ASSET MANAGEMENT, INC. RELATIONSHIP	11/5/2014	00000483929	Active	Tier 1	9/20/2015
GRANITE GROUP RELATIONSHIP	00000508353	Active	Tier 2		9/20/2015
GREENBERG, MAURICE RELATIONSHIP	11/5/2014	00000409240	Active	Tier 1	9/20/2015
HARBOURTON RELATIONSHIP	00000496026	Inactive		Tier 3	9/20/2015
HARVEY, BERGER RELATIONSHIP	00000482512	Active	Tier 2		9/20/2015
HATFIELD, JAY RELATIONSHIP	00000482508	Active	Tier 2		9/20/2015
HG CAPITAL RELATIONSHIP	00000483662	Inactive		Tier 2	9/20/2015
HOLTERBOSCH, HEIDI RELATIONSHIP	00000482522	Active	Tier 3		9/20/2015
HUDIBURG RELATIONSHIP	00000496304	Inactive		Tier 2	9/20/2015
HUGHSON, PAUL RELATIONSHIP	00000482515	Inactive		Tier 2	9/20/2015
HUSAIN, FAZLE RELATIONSHIP	00000482529	Active	Tier 2		9/20/2015
HYMAN, ED RELATIONSHIP	00000481404	Active	Tier 3		9/20/2015
ILLIG, CLIFF RELATIONSHIP	00000499604	Active	Tier 3		9/20/2015
IRONSIDES ASSET MGMT RELATIONSHIP	00000499596	Active	Tier 2		9/20/2015
ITAFIN RELATIONSHIP	00000498895	Active	Tier 3		9/20/2015
JACK NORRIS RELATIONSHIP	3/7/2013	00000451105	Inactive		Tier 2 9/20/2015
JAIN, NEIL RELATIONSHIP	00000482496	Active	Tier 3		9/20/2015
JESSELSON CAPITAL RELATIONSHIP	00000489088	Active	Tier 2		9/20/2015
JL SQUARED GROUP RELATIONSHIP	00000499598	Active	Tier 2		9/20/2015
JSC INTERIORS LLC RELATIONSHIP	00000496076	Inactive		Tier 2	9/20/2015
KALIKOW, PETER RELATIONSHIP	00000178401	Active	Tier 2		9/20/2015
KARGMAN, HARRY RELATIONSHIP	00000482503	Inactive		Tier 3	9/20/2015
KATZ, STEVEN RELATIONSHIP	00000482472	Inactive		Tier 3	9/20/2015
KEENAN, WILLIAM HOWARD RELATIONSHIP	00000482513	Inactive		Tier 2	9/20/2015
KELLY, JUDY RELATIONSHIP	00000482527	Inactive		Tier 3	9/20/2015
KIMMEL, ADAM RELATIONSHIP	00000482533	Active	Tier 3		9/20/2015
KRISTOFF, MARK RELATIONSHIP	00000482524	Inactive		Tier 3	9/20/2015
LANGFORD, DAVID RELATIONSHIP	00000482518	Inactive		Tier 2	9/20/2015
LICHTENSTEIN, WARREN RELATIONSHIP	00000482267	Active		Tier 2	9/20/2015
LIME ROCK PARTNERS RELATIONSHIP	5/16/2013	00000478453	Active	Tier 2	9/20/2015
LORBER, HOWARD RELATIONSHIP	00000520256	Active	Tier 3		10/16/2015
M2O INCORPORATED RELATIONSHIP	00000499600	Active	Tier 2		9/20/2015
MARINER CAPITAL RELATIONSHIP	00000499577	Active	Tier 3		9/20/2015
MATEER, CRAIG RELATIONSHIP	8/19/2015	00000495818	Inactive		Tier 2 9/20/2015
MEISTER, TODD RELATIONSHIP	00000482449	Active	Tier 2		9/20/2015
MFP INVESTORS LLC RELATIONSHIP	12/14/2012	00000410774	Active	Tier 1	9/20/2015
MICHELSON, GARY KARLIN RELATIONSHIP	11/6/2014	00000435204	Inactive		Tier 2 9/20/2015
MILCH, NEAL RELATIONSHIP	00000482476	Active	Tier 3		9/20/2015
MILTON ACADEMY RELATIONSHIP	00000483494	Active	Tier 2		9/20/2015
MIVEN LP RELATIONSHIP	11/4/2014	00000418860	Active	Tier 3	9/20/2015
MOODY, ERIK RELATIONSHIP	00000514634	Active	Tier 3		9/20/2015
MURSTEIN, ALVIN RELATIONSHIP	00000481145	Active	Tier 2		9/20/2015
NAZERIAN, DAVID RELATIONSHIP	00000499575	Active	Tier 1		9/20/2015
NIR, DAN RELATIONSHIP	00000482454	Active	Tier 3		9/20/2015
OVERSTROM, GUNNAR RELATIONSHIP	00000482474	Active	Tier 3		9/20/2015
OXFORD LANE CAPITAL RELATIONSHIP	00000493740	Active	Tier 2		9/20/2015
PACKER, MARC RELATIONSHIP	00000481318	Active	Tier 2		9/20/2015
PARAMI CAPITAL MANAGEMENT RELATIONSHIP	00000498424	Active	Tier 2		9/20/2015
PATRIOT STRATEGY PARTNERS RELATIONSHIP	00000484400	Active	Tier 2		10/19/2015

PENSLER, SANDY RELATIONSHIP	00000482468	Active	Tier 3	9/20/2015	
PEREGRINE GROUP RELATIONSHIP	00000499602	Active	Tier 2	9/20/2015	
POLYMER LOGISTICS RELATIONSHIP	00000508809	Active	Tier 2	9/20/2015	
RICHARDSON, JULIE RELATIONSHIP	00000481328	Active	Tier 2	9/20/2015	
ROARK CAPITAL GROUP RELATIONSHIP	11/20/2013			00000459563	Active Tier 2 9/20/2015
ROSE, SIMON RELATIONSHIP	00000482444	Active	Tier 3	9/20/2015	
ROSEMORE, INC RELATIONSHIP	11/4/2014			00000409735	Inactive 9/20/2015
SALZMAN, RICHARD RELATIONSHIP	00000482442	Active	Tier 3	9/20/2015	
SCF PARTNERS RELATIONSHIP	00000483655	Active	Tier 2	9/20/2015	
SCHOR, FRANCIS RELATIONSHIP	00000482430	Inactive			Tier 2 9/20/2015
SCHREIBER, KARL RELATIONSHIP	00000506830	Active	Tier 3	9/20/2015	
SCS FINANCIAL RELATIONSHIP	11/10/2014			00000470597	Active Tier 3 9/20/2015
SHANKEN, MARVIN RELATIONSHIP	00000482424	Active	Tier 2	9/20/2015	
SIEGEL, JEROME RELATIONSHIP	00000482422	Active	Tier 2	9/20/2015	
SILVESTRI, ANGELO RELATIONSHIP	00000482418	Active	Tier 2	9/20/2015	
SIMON, RICHARD M RELATIONSHIP	00000484535	Active	Tier 2	9/20/2015	
SK CAPITAL PARTNERS RELATIONSHIP	3/6/2013			00000435834	Inactive 9/20/2015
SLIFKA, RANDY RELATIONSHIP	8/12/2015			00000451242	Active Tier 1 9/20/2015
STALLER, CARY RELATIONSHIP	00000482410	Active	Tier 2	9/20/2015	
TAXEL, NELSON RELATIONSHIP	00000482391	Inactive			Tier 3 9/20/2015
TRUE NORTH ADVISORS RELATIONSHIP	00000508807	Active	Tier 2	9/20/2015	
UNITED COMPANY RELATIONSHIP	00000499617	Active	Tier 2	9/20/2015	
WEINDLING, LESTER RELATIONSHIP	11/17/2014			00000169891	Active Tier 3 9/20/2015
WHITE DEER ENERGY RELATIONSHIP	3/18/2013			00000478302	Active Tier 2 9/20/2015
WILLETT ADVISORS RELATIONSHIP	00000495941	Active	Tier 2	9/20/2015	
WILSON, WELCOME RELATIONSHIP	00000480635	Active	Tier 1	9/20/2015	
WINSTON ADVISORS RELATIONSHIP	00000514077	Active	Tier 2	9/20/2015	

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 Chamamah, 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) 250000000				
BPS 65 1625000	Paul Morris						
Proxy Hedge Elysium Management	12/31/2015	25	Derivatives (Equity - Option)		2500		
00000 BPS 100	2500000	Paul Morris					
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				

KCP Private Markets	Greatrex, Peter	9/30/2015	50	Brokerage (Commissions)	25000000	
BPS 5	12500 Paul Morris					
Deposits	Hillspire LLC	9/30/2015	25	Private Wealth Premium Checking	50000000	
BPS 20	100000 Stewart Oldfield					
Hyman, Ed-	Hyman, Ed	9/30/2015	25	Brokerage (Commissions)	20000000	BPS
5 10000	Paul Morris					
KCP Private Markets	Jain, Neil	9/30/2015	25	Brokerage (Commissions)	15000000	
BPS 5	7500 Paul Morris					
Jain, Sunil-	Jain, Sunil	9/30/2015	25	Private Wealth Premium Checking w/Interest		
25000000	BPS 40	100000 Paul Morris				
Keenan, William Howard-	Keenan, William Howard	9/30/2015	25	Brokerage (Commissions)	2500	
0000 BPS 5	12500 Paul Morris					
Structured Credit	Kim, Steven	9/30/2015	25	U.S. Structured Lending (Secured)		
50000000	BPS 100	500000 Stewart Oldfield				
Deposits	Laffont, Philippe	9/30/2015	25	Private Wealth Premium Checking	2500	
0000 BPS 40	100000 Paul Morris					
Mortgage	Laffont, Philippe	9/30/2015	25	Standard Mortgage - 5/1 Arm	2500	
0000 BPS 100	250000 Paul Morris					
Banking Lawrence, Bryan		9/30/2015	25	Private Wealth Premium Checking	20000000	BPS
40 80000	Paul Morris					
ETE Loan	Lindemann Jr., George	9/30/2015	50	U.S. Letter of Credit	25000000	
BPS 100	250000 Stewart Oldfield					
Consumer RE	Lindemann Jr., George	12/31/2015	50	Commercial Real Estate	50000000	
BPS 100	500000 Stewart Oldfield					
Unsecured Loan	Lindemann Jr., George	12/31/2015	50	U.S. Structured Lending (Unsecured)		
100000000	BPS 200	2000000 Stewart Oldfield				
Rate Hedge	Lindemann, Adam M.	9/30/2015	25	Brokerage (Commissions)	50000000	
BPS 20	100000 Stewart Oldfield					
Art Loan	Lindemann, Adam M.	9/30/2015	10	U.S. Letter of Credit	35000000	
BPS 200	700000 Stewart Oldfield					
ETE Loan	Lindemann, Adam M.	12/31/2015	75	U.S. Letter of Credit	37500000	
BPS 100	3750000 Stewart Oldfield					
Marron, Donald B.-	Marron, Donald B.	9/30/2015	25	U.S. Letter of Credit	2500	
0000 BPS 100	250000 Paul Morris					
Meister, Robert A.-	Meister, Robert A.	9/30/2015	25	Private Wealth Premium Check		
ing w/Interest	10000000 BPS 40	40000 Paul Morris				
Meister, Todd-	Meister, Todd	9/30/2015	25	Standard Mortgage - Floating Arm	7000	
000 BPS 100	70000 Paul Morris					
Structured Credit	Meister, Todd	12/31/2015	25	U.S. Letter of Credit	50000000	
BPS 200	1000000 Paul Morris					
Deposits	Meister, Todd	12/31/2015	75	Private Wealth Premium Money Market	1000	
0000 BPS 35	35000 Paul Morris					
Fixed Income	Moody, Erik V	12/31/2015	10	U.S. IA - Fixed	25000000	BPS 35
87500 Paul Morris						
Banking Moody, Erik V		12/31/2015	10	Private Wealth Premium Checking w/Interest	2500	
0000 BPS 35	87500 Paul Morris					
Murstein, Alvin-	Murstein, Alvin	9/30/2015	10	U.S. Secured Lending (Lombard)	5000	
0000 BPS 100	500000 Paul Morris					
Murstein, Andrew-	Murstein, Andrew	9/30/2015	25	Private Wealth Premium Check		
ing w/Interest	10000000 BPS 40	40000 Paul Morris				
Infrastructure	ORIX Americas	9/30/2015	25	U.S. Letter of Credit	50000000	BPS
200 1000000	Stewart Oldfield					
Phoenix America	ORIX Corporation	12/31/2015	75	Private Equity Funds	10000000	
Flat Fee	150000 150000	Stewart Oldfield				
Lending Parami Capital Management		9/30/2015	25	U.S. Structured Lending (Secured)		
25000000	BPS 100	250000 Paul Morris				
Deposits	Parami Capital Management	12/31/2015	75	Private Wealth Premium Money		
Market 10000000	BPS 35	35000 Paul Morris				
Goldrush	Parami Capital Management	12/31/2015	75	U.S. Structured Lending (Secured)		
90000000	BPS 1235	13365000 Stewart Oldfield				
Petrides, George-	Petrides, George	9/30/2015	25	Brokerage (Commissions)	1000	
0000 BPS 5	5000 Paul Morris					
Credit Facility Pine River Capital Management LP		9/30/2015	10	U.S. Letter of Credit		
50000000	BPS 100	500000 Paul Morris				
Richardson, Julie G.-	Richardson, Julie G.	9/30/2015	50	Brokerage (Commissions)	3000	
0000 BPS 5	15000 Paul Morris					
KCP Private Markets	SAB Capital Management, LP	9/30/2015	25	Brokerage (Commissio		
ns) 35000000	BPS 5	17500 Paul Morris				
CIO Strategies Simon, Richard M.		9/30/2015	25	Global Select - Equities/Balanced		
25000000	BPS 35	87500 Paul Morris				
Extell Real Estate	SK Family Office	9/30/2015	50	Commercial Real Estate	3500	
0000 BPS 200	700000 Paul Morris					
Residential Mortgage	SK Family Office	9/30/2015	50	Standard Mortgage - Floating		
Arm 15000000	BPS 100	150000 Paul Morris				
Structured Notes	SK Family Office	12/31/2015	75	Structured Notes & Deposits		
(Equity)	3000000 Flat Fee	45000 45000 Paul Morris				
Loan SK Family Office		12/31/2015	75	U.S. Structured Lending (Secured)	5000	
000 BPS 200	100000 Paul Morris					
Euro Hedge	Snyder, Daniel	9/30/2015	25	Brokerage (Commissions)	100000000	BPS

20	200000	Stewart Oldfield							
DPM Mandate	Snyder, Daniel	9/30/2015	25	U.S. IA - Equity	50000000	BPS			
50	250000	Stewart Oldfield							
Brokerage	Snyder, Daniel	9/30/2015	50	Brokerage (Commissions)	10000000	BPS			
5	5000	Stewart Oldfield							
Additional Brokerage	Southern Financial LLC	3/31/2015	75	Brokerage (Commissions)	7500				
0000	Flat Fee	2000000	2000000	Paul Morris					
Structured Credit	Southern Financial LLC	9/30/2015	50	U.S. Letter of Credit	5000				
0000	BPS	300	1500000	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				
Equity Trading	Spruce Investment Advisors, LLC	9/30/2015	25	Brokerage (Commissions)	5000				
0000	BPS	100	500000	Stewart Oldfield					
SSW 2007 LLC-	SSW 2007 LLC	12/31/2015	75	Private Wealth Premium Money Market	5000				
0000	BPS	40	200000	Paul Morris					
Brokerage	Stock, Robert D.	12/31/2014	25	Brokerage (Commissions)	50000000				
BPS	100	500000	Stewart Oldfield						
Real Estate Loan	Stream Realty Partners	9/30/2015	10	Commercial Real Estate	5000				
0000	BPS	100	500000	Paul Morris					
Deposits	TFMG Associates, LLC	9/30/2015	10	Private Wealth Premium Checking	5000				
0000	BPS	40	200000	Paul Morris					
Stock Lending	TFMG Associates, LLC	9/30/2015	10	U.S. Structured Lending (Secured)					
50000000	BPS	100	500000	Paul Morris					
Brokerage	Tharani, Haresh	9/30/2015	25	Brokerage (Commissions)	30000000	BPS			
5	15000	Paul Morris							
Airplane Financing	Tharani, Haresh	9/30/2015	10	U.S. Structured Lending (Secured)					
10000000	BPS	100	100000	Paul Morris					
Deposits	The George Lindemann Family Limited Partnership	12/31/2015	90	Private Weal					
th Premium Money Market	1000000	BPS	35	3500	Stewart Oldfield				
ETE Brokerage- Series 2	The George Lindemann Family Limited Partnership	12/31/2015	90	Brok					
erage (Asset-Based Fees) - Advisor Select	30000000	BPS	20	60000	Stewart Oldf				
ield									
ETE loan- Series 2	The George Lindemann Family Limited Partnership	12/31/2015	90	U.S.					
Secured Lending (Lombard)	20000000	BPS	135	270000	Stewart Oldfield				
DPM	The Haze Trust	12/31/2015	90	U.S. IA - Equity	25000000	BPS			
87500	Paul Morris								
Credit Draw	The National Organization of the New Apostolic Church of North America	12/31/2015							
50	U.S. Secured Lending (Lombard)	10000000	BPS	180	180000	Paul Morris			
SOF III	Third Lake Capital	9/30/2015	50	Brokerage (Asset-Based Fees) - Advisor Selec					
t	20000000	BPS	5	10000	Paul Morris				
Leveraged Loan/Real Estate Lending	Third Lake Capital	9/30/2015	50	Commercial R					
eal Estate	150000000	Flat Fee	3000000	3000000	Paul Morris				
Suntex Marinas	Third Lake Capital	9/30/2015	50	Brokerage (Asset-Based Fees) - Advis					
or Select	25000000	BPS	5	12500	Paul Morris				
Cash Management	Third Lake Capital	12/31/2015	75	U.S. IA - Fixed	100000000	BPS			
25	250000	Paul Morris							
Panda	Third Lake Capital	12/31/2015	75	Private Equity Funds	15000000	BPS			
150	225000	Paul Morris							
Phoenix America	Third Lake Capital	12/31/2015	75	Private Equity Funds	15000000				
BPS	150	225000	Paul Morris						
Fixed Income	Third Lake Capital	12/31/2015	75	U.S. IA - Fixed	100000000	BPS			
35	350000	Paul Morris							
Deposits	Third Lake Capital	12/31/2015	75	Private Wealth Premium Money Market					
100000000	BPS	20	200000	Paul Morris					
Todd and Karen Wanek Marital Property Trust-	Todd and Karen Wanek Marital Property Trust	9/30							
/2015	25	Private Wealth Premium Money Market	10000000	BPS	40	40000	Paul		
Morris									
Art Financing	TOMS Capital Investment, LLC	9/30/2015	25	U.S. Structured Lending (Sec					
ured)	50000000	BPS	100	500000	Paul Morris				
Real Estate Financing	TOMS Capital Investment, LLC	9/30/2015	25	U.S. Structured Lend					
ing (Secured)	60000000	BPS	100	600000	Paul Morris				
Viola, Vincent-	Viola, Vincent	9/30/2015	25	U.S. Letter of Credit	25000000	BPS			
100	250000	Paul Morris							
Banking Wanek Trust of 2000	9/30/2015	50	Private Wealth Premium Checking	10000000					
BPS	40	40000	Paul Morris						
Brokerage	Wanek Trust of 2000	12/31/2015	90	Brokerage (Commissions)	5000000	BPS			
5	2500	Paul Morris							
JTWROS Brokerage	Wanek, Karen A.	12/31/2015	90	Brokerage (Commissions)	5000000	BPS			
20	10000	Paul Morris							
Warren, Glenn-	Warren, Glenn	9/30/2015	25	U.S. IA - RCM	50000000	BPS			
175000	Paul Morris								
Structured Credit	Willett Advisors, LLC	9/30/2015	10	U.S. Letter of Credit	2500				
0000	BPS	100	250000	Stewart Oldfield					
Wilson, Welcome-	Wilson, Welcome	9/30/2015	10	Commercial Real Estate	200000000				
BPS	100	2000000	Paul Morris						
Structured Lending	Yorktown Partners LLC	9/30/2015	25	U.S. Structured Lending (Uns					
ecured)	50000000	BPS	200	1000000	Paul Morris				

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