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> 75% Pipeline
Opportunity Name      Relationship Name      Customer Name      Close Date      (%)      Product Name
Actual Assets        Structure      BPS/Flat Fee      Actual Revenue      Sales Team Member      Estimated Mo
nth # 2015          Est 2016 Rev      Est 2017 Rev
Banking ELYSIUM MANAGEMENT RELATIONSHIP Black, Leon D. 3/31/2016      90      Private Wealth Premi
um Checking          25000000      BPS      40      100000      0      IF (H2="BPS",J2*(L2/12),J2)=0      IF (H
2="BPS",J2,0)=100000
Brokerage THIRDS LAKE CAPITAL RELATIONSHIP WANER TRUST OF 2000      3/31/2016      90      Brok
erage (Commissions) 5000000 BPS      5      2500      Morris 0      IF (H3="BPS",J3*(L3/12),J3)=0
IF (H3="BPS",J3,0)=2500
JTWROS Brokerage THIRDS LAKE CAPITAL RELATIONSHIP Wanek, Karen A. 3/31/2016      90      Brok
erage (Commissions) 5000000 BPS      20      10000      Morris 0      IF (H4="BPS",J4*(L4/12),J4)=0
IF (H4="BPS",J4,0)=10000
Real Estate Opportunity 54 MADISON PARTNERS RELATIONSHIP      54 Madison Partners      3/31/2016
75      U.S. Structured Lending (Secured)      150000000      BPS      550      12000000      Morr
is 0      J5=12000000
KCP ELYSIUM MANAGEMENT RELATIONSHIP Black, Leon D. 3/31/2016      75      Brokerage (Commissio
ns) 50000000      BPS      5      25000      Morris 0      J6=25000
Credit Facility GENERAL ATLANTIC FAMILY OFFICE RELATIONSHIP      General Atlantic Family Office      3/31
/2016      75      U.S. Letter of Credit      150000000      BPS      200      3500000      IF (H22="BPS",J22*(L7
/12),J22)=0      J22=0
Goldrush MEISTER, TODD RELATIONSHIP      Meister, Todd      6/30/2016      75      U.S. Structu
red Lending (Secured) 90000000      BPS      1235      13365000      0      0      J8=13365000
Deposits MEISTER, TODD RELATIONSHIP      Meister, Todd      3/31/2016      75      Private Weal
th Premium Money Market 10000000      BPS      35      35000      Morris 0      IF (H9="BPS",J9*(L9/1
2),J9)=0      IF (H9="BPS",J9,0)=35000
KCP Private Markets ORIX RELATIONSHIP      ORIX Corporation      3/31/2016      75      Priv
ate Equity Funds      10000000      Flat Fee      400000      400000      Morris 0      IF (H10="BPS"
,J10*(L10/12),J10)=400000      J10=400000
Structured Credit PARAMI CAPITAL MANAGEMENT RELATIONSHIP      Vaid, Rahul      6/30/2016      75
U.S. Secured Lending (Lombard) 50000000      BPS      300      1500000      Oldfield 0      IF (H
11="BPS",J11*(L11/12),J11)=0      IF (H11="BPS",J11,0)=1500000
Deposits PARAMI CAPITAL MANAGEMENT RELATIONSHIP      Parami Capital Management      3/31/2016
75      Private Wealth Premium Money Market      10000000      BPS      35      35000      Morris 0
0      J12=35000
Airplane Loan SAPIR, TAMIR RELATIONSHIP      Sapir, Tamir      3/31/2016      75      U.S. Structu
red Lending (Secured) 10000000      BPS      200      200015      Morris 0      IF (H13="BPS",J13*(L1
3/12),J13)=0      IF (H13="BPS",J13,0)=200015
CLO 2 SK FAMILY OFFICE RELATIONSHIP      Falcon Trail Capital, LLC      3/31/2016      75      Deri
vatives (Equity - Swap) 5000000 BPS      200      100000      Morris 0      0      J14=100000
CLO SK FAMILY OFFICE RELATIONSHIP      Falcon Trail Capital, LLC      3/31/2016      75      Deri
vatives (Equity - Swap) 5000000 BPS      200      100000      Morris 0      IF (H15="BPS",J15*(L15/12),J1
5)=0      IF (H15="BPS",J15,0)=100000
Structured Notes SK FAMILY OFFICE RELATIONSHIP      SK Family Office      3/31/2016      75
Structured Notes & Deposits (Equity) 3000000 Flat Fee      45000      45000
Loan SK FAMILY OFFICE RELATIONSHIP      SK Family Office      3/31/2016      75      U.S. Structu
red Lending (Secured) 5000000 BPS      200      100000
Brokerage SOUTHERN FINANCIAL RELATIONSHIP      Gratitude America      3/31/2016      75      Brok
erage (Asset-Based Fees) - Advisor Select      10000000      BPS      20      20000
Additional Banking SOUTHERN FINANCIAL RELATIONSHIP      Southern Financial LLC      3/31/2016      75
Private Wealth Premium Checking w/Interest      50000000      BPS      20      100000
SUM(G2:G19)=6.43E8      SUM(J2:J19)=31637515      SUM(M2:M19)=400000      SUM(N2:N19)=27872515

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Full Pipeline						
Opportunity Name	Relationship Name	Customer Name	Close Date	(%)	Product Name	
Actual Assets Structure	BPS/Flat Fee	Actual Revenue	Sales Team Member			
Real Estate Opportunity	54 MADISON PARTNERS RELATIONSHIP	54 Madison Partners	3/31/2016			
75 U.S. Structured Lending (Secured)		15000000	BPS 550	12000000	Stew	
art Oldfield						
Introduction	ANNANDALE CAPITAL RELATIONSHIP	Annandale Capital	3/31/2016	0	Priv	
ate Wealth Premium Money Market	0 Stewart Oldfield					
Introduction	ARDEN ASSET MGMT RELATIONSHIP	Arden Asset Mgmt	3/31/2016	0	Priv	
ate Wealth Premium Money Market	0 Stewart Oldfield					
KCP Private Markets	ASPEN GROVE CAPITAL RELATIONSHIP	Aspen Grove Capital, LLC	3/31/2016			
/2016 25 Brokerage (Commissions)	15000000	BPS 5 7500	Paul Morris			
Introduction	BAKSHSHANDEHPOUR, SAM RELATIONSHIP	Bakhshandehpour, Sam	2/29/2016	0		
Private Wealth Premium Money Market	0 Stewart Oldfield					
Lending BASQUIAT RELATIONSHIP	Estate of Gerard Basquiat	3/31/2016	10	U.S. Structu		
red Lending (Secured)	50000000 BPS 100	500000	Paul Morris			
Structured Lending	BENEFIT STREET PARTNERS RELATIONSHIP	Benefit Street Partners	3/31/2016			
25 U.S. Structured Lending (Secured)		30000000	BPS 100	300000	Paul Morris	
KCP Private Markets	BLUE MOUNTAIN RELATIONSHIP	Greatrex, Peter	3/31/2016	50	Brok	
erage (Commissions)	25000000 BPS 5	12500	Paul Morris			
Credit Line	BLUE MOUNTAIN RELATIONSHIP	Blue Mountain Capital Management, LLC	3/31/2016			
25 U.S. Letter of Credit	50000000	BPS 100	500000	Paul Morris		
HF Secondaries	BLUESTEM LLC RELATIONSHIP	Bluestem LLC	3/31/2016	25	Hedge Funds	
0 Stewart Oldfield						
KCP Private Markets	BOMMER, SCOTT RELATIONSHIP	SAB Capital Management, LP	3/31/2016			
25 Brokerage (Commissions)	35000000	BPS 5	17500	Paul Morris		
Deposits	BOMMER, SCOTT RELATIONSHIP	Bommer, Scott	3/31/2016	10	Private Weal	
th Premium Checking	25000000 BPS 40	100000	Paul Morris			
Residential Mortgage	BOMMER, SCOTT RELATIONSHIP	Bommer, Scott	3/31/2016	10	Stan	
ard Mortgage - 5/1 Arm	25000000 BPS 100	250000	Paul Morris			
Introduction	BRACK CAPITAL RELATIONSHIP	Brack Capital	3/31/2016	0	Private Weal	
th Premium Money Market	0 Paul Morris					
Introduction	BRIGHT GROUP RELATIONSHIP	Bright Group	3/31/2016	0	Private Weal	
th Premium Money Market	0 Stewart Oldfield					
Banking	BRONFMAN, EDGAR RELATIONSHIP	Bronfman, Edgar	3/31/2016	10	Private Wealth Premi	
um Checking w/Interest	25000000 BPS 40	100000	Paul Morris			
Muni Portfolio	CAVALRY RELATIONSHIP	Cavalry Portfolio Services, LLC	3/31/2016	10	Glob	
al Select - Fixed Income	25000000	BPS 50	125000	Paul Morris		
Banking Account	CAVALRY RELATIONSHIP	Cavalry Portfolio Services, LLC	3/31/2016	10	Priv	
ate Wealth Premium Checking	50000000	BPS 40	200000	Paul Morris		
Brokerage	CAVALRY RELATIONSHIP	Cavalry Portfolio Services, LLC	3/31/2016	10	Brok	
erage (Commissions)	10000000 BPS 5	5000	Paul Morris			
Custody CFM RELATIONSHIP	Capital Fund Management	3/31/2016	10	Onshore Custody	0	
Stewart Oldfield						
Introduction	CFM RELATIONSHIP	Comprehensive Financial Management	3/31/2016	0		
Private Wealth Premium Money Market	0 Stewart Oldfield					
KCP/ Private Markets	COLLIS, CHARLES RELATIONSHIP	EverWatch Financial	3/31/2016	50		
Private Equity Funds	5000000 Flat Fee	200000	200000	Stewart Oldfield		
Brokerage	CROSS, LISA RELATIONSHIP	Cross, Lisa	3/31/2016	10	Brokerage (C	
ommissions)	75000000 BPS 5	37500	Paul Morris			
Share Collars	CUMMINGS, IAN RELATIONSHIP	Cummings, Ian	3/31/2016	10	Brokerage (C	
ommissions)	5000000 Flat Fee	250000	250000	Paul Morris		
Introduction	CV STARR RELATIONSHIP	CV Starr	3/31/2016	0	Private Wealth Premi	
um Money Market	0 Stewart Oldfield					
HF Secondaries	DELL, MICHAEL RELATIONSHIP	Dell, Michael S.	3/31/2016	10	Hedg	
e Funds 0	Paul Morris					
Introduction	DOCK STREET CAPITAL RELATIONSHIP	Dock Street Capital	3/31/2016	0		
Private Wealth Premium Money Market	0 Stewart Oldfield					
Deposits	DONALD BRYANT JR. RELATIONSHIP	Bryant Jr., Donald	3/31/2016	10	Priv	
ate Wealth Premium Checking w/Interest	10000000	BPS 40	40000	Paul Morris		
Loan	DORRANCE FAMILY RELATIONSHIP	Dorrance Family Foundation	3/31/2016	0	U.S.	
Structured Lending (Secured)	200000000	BPS 100	2000000	Stewart Oldfield		
Cash management	DORRANCE FAMILY RELATIONSHIP	Dorrance Family Foundation	3/31/2016	0		
Private Wealth Premium Money Market	20000000	BPS 30	60000	Stewart Oldfield		
Private Equity	DORRANCE FAMILY RELATIONSHIP	Dorrance Family Foundation	3/31/2016	0		
Private Equity Funds	0 Stewart Oldfield					
Margin Loan	DORRANCE FAMILY RELATIONSHIP	DF Enterprises	3/31/2016	0	U.S. Secured	
Lending (Lombard)	250000000 BPS 65	1625000	Stewart Oldfield			
Land Loan	DORRANCE FAMILY RELATIONSHIP	DF Enterprises	12/31/2016	0	U.S. Structu	
red Lending (Secured)	100000000 BPS 600	6000000	Stewart Oldfield			
Introduction	DUNCAN INVESTMENTS RELATIONSHIP	Duncan Investments	3/31/2016	0	Priv	
ate Wealth Premium Money Market	0 Stewart Oldfield					
Retirement Plan	ELLIN, HOWARD RELATIONSHIP	Ellin, Howard	9/30/2016	10	U.S. IA - Ba	
anced 1000000	BPS 60 6000	Paul Morris				
Banking	ELYSIUM MANAGEMENT RELATIONSHIP	Black, Leon D.	3/31/2016	90	Private Wealth Premi	
um Checking	25000000 BPS 40	100000	Paul Morris			
KCP	ELYSIUM MANAGEMENT RELATIONSHIP	Black, Leon D.	3/31/2016	75	Brokerage (Commissio	
ns) 50000000	BPS 5 25000	Paul Morris				
Cash Management	ELYSIUM MANAGEMENT RELATIONSHIP	Elysium Management	3/31/2016	50	U.S.	

IA - RCM	50000000	BPS	25	125000	Paul Morris			
Art Lending	ELYSIUM MANAGEMENT RELATIONSHIP			Black, Leon D.	9/30/2016	50		U.S. Structu
red Lending (Secured)	250000000	BPS		100	2500000 Paul Morris			
Proxy Hedge	ELYSIUM MANAGEMENT RELATIONSHIP			Elysium Management	3/31/2016	10		Deri
vatives (Equity - Option)	250000000	BPS	100	2500000	Paul Morris			
Introduction	ELYSIUM MANAGEMENT RELATIONSHIP			AP Investco LLC	3/31/2016	0		Private Weal
th Premium Money Market	0	Paul Morris						
Deposits	ERGEN, CHARLES RELATIONSHIP			Ergen, Charles	3/31/2016	50		Private Weal
th Premium Checking w/Interest	50000000	BPS	40	200000	Paul Morris			
Brokerage	ERGEN, CHARLES RELATIONSHIP			Ergen, Charles	3/31/2016	25		Brokerage (C
ommissions)	50000000	BPS	5	25000	Paul Morris			
Credit Line	ERGEN, CHARLES RELATIONSHIP			Ergen, Charles	3/31/2016	10		U.S. Structu
red Lending (Secured)	300000000	BPS	100	3000000	Paul Morris			
Lending FALLLINE RELATIONSHIP	FallLine			3/31/2016	25			U.S. Structured Lending (Sec
ured)	100000000	100	0	Stewart Oldfield				
Custody FALLLINE RELATIONSHIP	FallLine			3/31/2016	10			Onshore Custody 1.0E9 BPS
10	1000000	Stewart Oldfield						
Lending FITZGIBBONS, JOHN RELATIONSHIP	Deerpath Capital Management			3/31/2016	10			U.S.
Letter of Credit	30000000	BPS	100	300000	Paul Morris			
Airplane Loan	FITZGIBBONS, JOHN RELATIONSHIP			Fitzgibbons, John	3/31/2016	10		U.S.
Structured Lending (Secured)	10000000	BPS	100	100000	Paul Morris			
Structured Credit	FITZGIBBONS, JOHN RELATIONSHIP			Fitzgibbons, John	3/31/2016	10		
U.S. Letter of Credit	50000000	BPS	200	1000000	Paul Morris			
Residential Mortgage	FITZGIBBONS, JOHN RELATIONSHIP			Fitzgibbons, John	3/31/2016	10		
Standard Mortgage - Floating Arm	4000000	BPS	100	40000	Paul Morris			
Commercial Mortgage	FITZGIBBONS, JOHN RELATIONSHIP			Fitzgibbons, John	3/31/2016	10		
Commercial Real Estate	5000000	BPS	100	50000	Paul Morris			
Introduction	FORRESTAL CAPITAL RELATIONSHIP			Forrestal Capital LLC	3/31/2016	0		Priv
ate Wealth Premium Money Market	0	Stewart Oldfield						
Deposits	GAGOSIAN, LARRY RELATIONSHIP			Gagosian, Larry	3/31/2016	25		Private Weal
th Premium Checking w/Interest	25000000			0	Paul Morris			
Brokerage	GASLOW, LAWRENCE RELATIONSHIP			Gaslow, Peter	3/31/2016	50		Brokerage (C
ommissions)	25000000	BPS	5	12500	Paul Morris			
Credit Facility	GENERAL ATLANTIC FAMILY OFFICE RELATIONSHIP			General Atlantic Family Office	3/31			
/2016	75	U.S. Letter of Credit	150000000	BPS	200	3500000	Paul Morris	
Secondary CLOs	GENERAL ATLANTIC FAMILY OFFICE RELATIONSHIP			General Atlantic Family Office	3/31			
/2016	50	Structured Notes & Deposits (Equity)	5000000	Flat Fee	200000	200000	Paul Morris	
Rated Infrastructure Notes	GENERAL ATLANTIC FAMILY OFFICE RELATIONSHIP			General Atlantic Fam				
ily Office	3/31/2016	50		Structured Notes & Deposits (Equity)	3000000	Flat Fee		
90000	90000	Paul Morris						
Brokerage	GEORGETOWN UNIVERSITY RELATIONSHIP			Georgetown University Endowment	3/31/2016			
50	Brokerage (Asset-Based Fees) - Advisor Select			25000000	Flat Fee	100	100	
Stewart Oldfield								
Brokerage	GERSCHEL, PATRICK RELATIONSHIP			Gerschel, Patrick	3/31/2016	25		Brok
erage (Commissions)	15000000	BPS	5	7500	Paul Morris			
Introduction	GRANITE GROUP RELATIONSHIP			Granite Group Advisors	3/31/2016	0		Priv
ate Wealth Premium Money Market	0	Stewart Oldfield						
Introduction	HIGHLANDER PARTNERS RELATIONSHIP			Hirsch, Lawrence	3/31/2016	0		
Private Wealth Premium Money Market	0	Stewart Oldfield						
Referall Fees	HUDIBURG RELATIONSHIP			Sullivan, Hardin	3/31/2016	0		Referral Fee
0	Stewart Oldfield							
Brokerage	HYMAN, ED RELATIONSHIP			Hyman, Ed	3/31/2016	10		Brokerage (Commissio
ns)	20000000	BPS	5	10000	Paul Morris			
Introduction	ILLIG, CLIFF RELATIONSHIP			Rock Island Capital	3/31/2016	0		Priv
ate Wealth Premium Money Market	0	Stewart Oldfield						
Introduction	ILLIG, CLIFF RELATIONSHIP			Sporting KC	3/31/2016	0		Private Weal
th Premium Money Market	0	Stewart Oldfield						
Referral Fees	ILLIG, CLIFF RELATIONSHIP			Illig, Cliff	3/31/2016	0		Referral Fee
0	Stewart Oldfield							
Introduction	IRONSIDES ASSET MGMT RELATIONSHIP			Ironsides Asset Mgmt	3/31/2016	0		
Private Wealth Premium Money Market	0	Stewart Oldfield						
Real Estate Financing	ITAFIN RELATIONSHIP			Chammah, Ezra	3/31/2016	10		Commercial R
real Estate	25000000	BPS	120	300000	Paul Morris			
Banking JAIN, NEIL RELATIONSHIP	Jain, Sunil			3/31/2016	10			Private Wealth Premium Check
ing w/Interest	25000000	BPS	40	100000	Paul Morris			
KCP Private Markets	JAIN, NEIL RELATIONSHIP			Jain, Neil	3/31/2016	10		Brokerage (C
ommissions)	15000000	BPS	5	7500	Paul Morris			
HF Secondaries	JL SQUARED GROUP RELATIONSHIP			JL Squared Group	3/31/2016	50		Hedg
e Funds	10000000	0		Stewart Oldfield				
Structured Credit	KIM, STEVEN RELATIONSHIP			Kim, Steven	3/31/2016	25		U.S.
Structured Lending (Secured)	50000000	BPS	100	500000	Stewart Oldfield			
Deposits	LAFFONT, PHILIPPE RELATIONSHIP			Laffont, Philippe	3/31/2016	25		Priv
ate Wealth Premium Checking	25000000	BPS	40	100000	Paul Morris			
Mortgage	LAFFONT, PHILIPPE RELATIONSHIP			Laffont, Philippe	3/31/2016	25		Stan
ard Mortgage - 5/1 Arm	25000000	BPS	100	250000	Paul Morris			
Consumer RE	LINDEMANN FAMILY RELATIONSHIP			Lindemann Jr., George	3/31/2016	50		Comm
ercial Real Estate	50000000	BPS	100	500000	Stewart Oldfield			
Residential Loan	LINDEMANN FAMILY RELATIONSHIP			Lindemann Jr., George	3/31/2016	50		

U.S. Structured Lending (Unsecured)	10000000	BPS	200	2000000	Stewart Oldfield		
Art Loan	LINDEMANN FAMILY RELATIONSHIP	Lindemann, Adam M.	3/31/2016	10	U.S.		
Letter of Credit	35000000	BPS	200	700000	Stewart Oldfield		
ETE Loan	LINDEMANN FAMILY RELATIONSHIP	Lindemann Jr., George	3/31/2016	10	U.S.		
Letter of Credit	25000000	BPS	100	250000	Stewart Oldfield		
ETE Loan	LINDEMANN FAMILY RELATIONSHIP	Lindemann, Adam M.	3/31/2016	10	U.S.		
Letter of Credit	37500000	BPS	100	375000	Stewart Oldfield		
Introduction	LINDEMANN FAMILY RELATIONSHIP	Tan Tan Bo Puking LLC	3/31/2016	0	Priv		
ate Wealth Premium Money Market	0	Stewart Oldfield					
ETE- Brokerage Series 1	LINDEMANN FAMILY RELATIONSHIP	The George Lindemann Family Limited Partners					
hip	3/31/2016	0	Brokerage (Commissions)	30000000	BPS	20	60000 Stew
art Oldfield							
ETE loan- Series 2	LINDEMANN FAMILY RELATIONSHIP	The George Lindemann Family Limited Partners					
hip	3/31/2016	0	U.S. Secured Lending (Lombard)	20000000	BPS	135	2700
00	Stewart Oldfield						
Deposits	LINDEMANN FAMILY RELATIONSHIP	The George Lindemann Family Limited Partnership	3/31/2016	0			
/2016	0	Private Wealth Premium Money Market	1000000	BPS	35	3500	Stewart Oldf
ield							
ETE Brokerage- Series 2	LINDEMANN FAMILY RELATIONSHIP	The George Lindemann Family Limited Partners					
hip	3/31/2016	0	Brokerage (Asset-Based Fees) - Advisor Select	30000000	BPS		
20	60000	Stewart Oldfield					
Introduction	LORBER, HOWARD RELATIONSHIP	Lorber, Howard	3/31/2016	0	Private Weal		
th Premium Money Market	0	Paul Morris					
Introduction	M2O INCORPORATED RELATIONSHIP	M2O Incorporated	3/31/2016	0	Priv		
ate Wealth Premium Money Market	0	Stewart Oldfield					
Introduction	MAKENA CAPITAL MANAGEMENT, LLC RELATIONSHIP	Makena Capital Mangement, LLC	3/31/2016	0	Private Weal		
/2016	0	Private Wealth Premium Money Market	0	Stewart Oldfield			
Introduction	MARINER CAPITAL RELATIONSHIP	Mariner Capital	3/31/2016	0	Private Weal		
th Premium Money Market	0	Stewart Oldfield					
Lending MARRON, DONALD B. RELATIONSHIP	Marron, Donald B.	3/31/2016	25	U.S. Letter			
of Credit	25000000	BPS	100	250000	Paul Morris		
Muhart, Gene-	MATEER, CRAIG RELATIONSHIP	Muhart, Gene	5/31/2016	10	0	Stew	
art Oldfield							
Goldrush	MEISTER, TODD RELATIONSHIP	Meister, Todd	6/30/2016	75	U.S. Structu		
red Lending (Secured)	90000000	BPS	1235	13365000	Stewart Oldfield		
Deposits	MEISTER, TODD RELATIONSHIP	Meister, Todd	3/31/2016	75	Private Weal		
th Premium Money Market	10000000	BPS	35	35000	Paul Morris		
Structured Credit	MEISTER, TODD RELATIONSHIP	Meister, Todd	3/31/2016	25	U.S.		
Letter of Credit	50000000	BPS	200	1000000	Paul Morris		
Residential Mortgage	MEISTER, TODD RELATIONSHIP	Meister, Todd	3/31/2016	25	Stan		
dard Mortgage - Floating Arm	7000000	BPS	100	70000	Paul Morris		
Banking MEISTER, TODD RELATIONSHIP	Meister, Robert A.	3/31/2016	25	Private Weal			
th Premium Checking w/Interest	10000000	BPS	40	40000	Paul Morris		
Fixed Income	MOODY, ERIK RELATIONSHIP	Moody, Erik V	3/31/2016	10	U.S. IA - Fi		
xed	25000000	BPS	35	87500	Paul Morris		
Banking MOODY, ERIK RELATIONSHIP	Moody, Erik V	3/31/2016	10	Private Wealth Premi			
um Checking w/Interest	25000000	BPS	35	87500	Paul Morris		
Lending MURSTEIN, ALVIN RELATIONSHIP	Murstein, Alvin	3/31/2016	10	U.S. Secured Lending			
(Lombard)	50000000	BPS	100	500000	Paul Morris		
Banking MURSTEIN, ALVIN RELATIONSHIP	Murstein, Andrew	3/31/2016	10	Private Weal			
th Premium Checking w/Interest	10000000	BPS	40	40000	Paul Morris		
Introduction	NAZERIAN, DAVID RELATIONSHIP	Nazerian, David	3/31/2016	0	Private Weal		
th Premium Money Market	0	Stewart Oldfield					
KCP Private Markets	ORIX RELATIONSHIP	ORIX Corporation	3/31/2016	75	Priv		
ate Equity Funds	10000000	Flat Fee	400000	400000	Stewart Oldfield		
Infrastructure	ORIX RELATIONSHIP	ORIX Americas	3/31/2016	25	U.S. Letter of Credi		
t	50000000	BPS	200	1000000	Stewart Oldfield		
IX Capital Partners-	ORIX RELATIONSHIP	IX Capital Partners	5/31/2016	10	0		
Stewart Oldfield							
Structured Credit	PARAMI CAPITAL MANAGEMENT RELATIONSHIP	Vaid, Rahul	6/30/2016	75			
U.S. Secured Lending (Lombard)	50000000	BPS	300	1500000	Paul Morris		
Deposits	PARAMI CAPITAL MANAGEMENT RELATIONSHIP	Parami Capital Management	3/31/2016				
75	Private Wealth Premium Money Market	10000000	BPS	35	35000	Paul Morris	
Lending PARAMI CAPITAL MANAGEMENT RELATIONSHIP	Parami Capital Management	3/31/2016	25				
U.S. Structured Lending (Secured)	25000000	BPS	100	250000	Paul Morris		
Brokerage	PATRIOT STRATEGY PARTNERS RELATIONSHIP	Patriot Strategy Partners	3/31/2016				
0	Brokerage (Commissions)	25000000	Flat Fee	50000	50000	Paul Morris	
Introduction	PEREGRINE GROUP RELATIONSHIP	Peregrine Group, LLC	3/31/2016	0	Priv		
ate Wealth Premium Money Market	0	Stewart Oldfield					
Credit Facility PINE RIVER CAPITAL RELATIONSHIP	Pine River Capital Management LP	3/31/2016					
10	U.S. Letter of Credit	50000000	BPS	100	500000	Paul Morris	
Richardson, Julie G.-	RICHARDSON, JULIE RELATIONSHIP	Richardson, Julie G.	3/31/2016	50			
Brokerage (Commissions)	30000000	BPS	5	15000	Paul Morris		
Loan	ROGER BULLOCH RELATIONSHIP	Bulloch, Roger	3/31/2016	10	U.S. Structured Lend		
ing (Secured)	20000000	BPS	100	200000	Stewart Oldfield		
Introduction	ROGER BULLOCH RELATIONSHIP	Sher Capital	3/31/2016	0	Private Weal		
th Premium Money Market	0	Stewart Oldfield					
Introduction	ROGER BULLOCH RELATIONSHIP	SPB Partners	3/31/2016	0	Private Weal		
th Premium Money Market	0	Stewart Oldfield					

Introduction	RUBENSTEIN, KEITH RELATIONSHIP	Rubenstein, Keith	3/31/2016	0	Priv
ate Wealth Premium Money Market	0	Paul Morris			
Airplane Loan	SAPIR, TAMIR RELATIONSHIP	Sapir, Tamir	3/31/2016	75	U.S. Structu
red Lending (Secured)	10000000	BPS 200	200015	Stewart Oldfield	
KCP	SCHMIDT, ERIC RELATIONSHIP	Hillspire LLC	3/31/2016	10	Brokerage (Commissio
ns)	0	Stewart Oldfield			
Deposits	SCHMIDT, ERIC RELATIONSHIP	Hillspire LLC	3/31/2016	10	Private Weal
th Premium Checking	50000000	BPS 20	100000	Stewart Oldfield	
Introduction	SHAMROCK RELATIONSHIP	Martin, Greg	3/31/2016	0	Private Wealth Premi
um Money Market	0	Stewart Oldfield			
CIO Strategies	SIMON, RICHARD M RELATIONSHIP	Simon, Richard M.	3/31/2016	25	Glob
al Select - Equities/Balanced	25000000	BPS 35	87500	Paul Morris	
CLO 2	SK FAMILY OFFICE RELATIONSHIP	Falcon Trail Capital, LLC	3/31/2016	75	Deri
vatives (Equity - Swap)	5000000 BPS	200	100000	Paul Morris	
CLO	SK FAMILY OFFICE RELATIONSHIP	Falcon Trail Capital, LLC	3/31/2016	75	Deri
vatives (Equity - Swap)	5000000 BPS	200	100000	Paul Morris	
Structured Notes	SK FAMILY OFFICE RELATIONSHIP	SK Family Office	3/31/2016	75	
Structured Notes & Deposits (Equity)	3000000 Flat Fee	45000	45000	Paul Morris	
Loan	SK FAMILY OFFICE RELATIONSHIP	SK Family Office	3/31/2016	75	U.S. Structu
red Lending (Secured)	5000000 BPS	200	100000	Paul Morris	
HELOC	SK FAMILY OFFICE RELATIONSHIP	SK Family Office	3/31/2016	25	Standard Mor
tgage - Floating Arm	15000000	BPS 100	150000	Paul Morris	
Introduction	SLIFKA, RANDY RELATIONSHIP	Slifka, Alfred A.	3/31/2016	0	Priv
ate Wealth Premium Money Market	0	Stewart Oldfield			
HF Secondaries	SLOME, IAN RELATIONSHIP	Slome, Ian	3/31/2016	25	Hedge Funds
0000	0	Stewart Oldfield			2500
Euro Hedge	SNYDER, DANIEL RELATIONSHIP	Snyder, Daniel	3/31/2016	10	Brokerage (C
ommissions)	100000000	BPS 20	200000	Stewart Oldfield	
DPM Mandate	SNYDER, DANIEL RELATIONSHIP	Snyder, Daniel	3/31/2016	10	U.S. IA - Eq
uity	50000000	BPS 50	250000	Stewart Oldfield	
Brokerage	SNYDER, DANIEL RELATIONSHIP	Snyder, Daniel	3/31/2016	10	Brokerage (C
ommissions)	10000000	BPS 5	5000	Stewart Oldfield	
Loan	SNYDER, DANIEL RELATIONSHIP	Snyder, Daniel	3/31/2016	0	U.S. Letter of Credi
t	50000000	BPS 100	500000	Stewart Oldfield	
Somerset Partners-	SOMERSET PARTNERS RELATIONSHIP	Somerset Partners	2/29/2016	10	
0	Paul Morris				
Introduction	SONEN CAPITAL RELATIONSHIP	Sonen Capital	3/31/2016	0	Private Weal
th Premium Money Market	0	Stewart Oldfield			
Brokerage	SOUTHERN FINANCIAL RELATIONSHIP	Gratitude America	3/31/2016	75	Brok
erage (Asset-Based Fees) - Advisor Select	10000000	BPS 20	20000	Paul Morris	
Additional Banking	SOUTHERN FINANCIAL RELATIONSHIP	Southern Financial LLC	3/31/2016	75	
Private Wealth Premium Checking w/Interest	50000000	BPS 20	100000	Paul Morris	
DPM	SOUTHERN FINANCIAL RELATIONSHIP	The Haze Trust	3/31/2016	50	U.S. IA - Equity
25000000	BPS 35	87500	Paul Morris		
Structured Credit	SOUTHERN FINANCIAL RELATIONSHIP	Southern Financial LLC	3/31/2016	10	
U.S. Letter of Credit	50000000	BPS 300	1500000	Paul Morris	
Brokerage	SPRUCE PRIVATE INVESTORS LLC RELATIONSHIP	Stock, Robert D.	3/31/2016		
25	Brokerage (Commissions) 50000000	BPS 100	500000	Stewart Oldfield	
Equity Trading	SPRUCE PRIVATE INVESTORS LLC RELATIONSHIP	Spruce Investment Advisors, LLC	3/31/2016		
/2016	25	Brokerage (Commissions) 50000000	BPS 100	500000	Stewart Oldfield
Real Estate Loan	STREAM REALTY RELATIONSHIP	Stream Realty Partners	3/31/2016	10	
Commercial Real Estate	50000000	BPS 100	500000	Paul Morris	
Brokerage	THARANI, HARESH RELATIONSHIP	Tharani, Haresh	3/31/2016	25	Brokerage (C
ommissions)	30000000	BPS 5	15000	Paul Morris	
Airplane Financing	THARANI, HARESH RELATIONSHIP	Tharani, Haresh	3/31/2016	10	U.S.
Structured Lending (Secured)	10000000	BPS 100	100000	Paul Morris	
Credit Draw	THE NATIONAL ORGANIZATION OF THE NEW APOSTOLIC CHURCH OF NORTH AMERICA RELATIONSHIP				
The National Organization of the New Apostolic Church of North America	3/31/2016	50	U.S.		
Secured Lending (Lombard)	10000000	BPS 180	180000	Paul Morris	
Brokerage	THIRD LAKE CAPITAL RELATIONSHIP	WANEK TRUST OF 2000	3/31/2016	90	Brok
erage (Commissions)	5000000 BPS	5	2500	Paul Morris	
JTWROS Brokerage	THIRD LAKE CAPITAL RELATIONSHIP	Wanek, Karen A.	3/31/2016	90	Brok
erage (Commissions)	5000000 BPS	20	10000	Paul Morris	
CMBS	THIRD LAKE CAPITAL RELATIONSHIP	Third Lake Capital	3/31/2016	50	Commercial R
real Estate	20000000	Flat Fee	30000	30000	Paul Morris
Leveraged Loan/Real Estate Lending	THIRD LAKE CAPITAL RELATIONSHIP	Third Lake Capital	3/31/2016		
/2016	50	Commercial Real Estate 50000000	Flat Fee	3000000	3000000 Paul Morris
KCP Private Markets	THIRD LAKE CAPITAL RELATIONSHIP	Third Lake Capital	3/31/2016	50	
Private Equity Funds	15000000	BPS 150	225000	Paul Morris	
Banking	THIRD LAKE CAPITAL RELATIONSHIP	WANEK TRUST OF 2000	3/31/2016	50	Private Weal
th Premium Checking	10000000	BPS 40	40000	Paul Morris	
HF Secondaries	THIRD LAKE CAPITAL RELATIONSHIP	Third Lake Capital	3/31/2016	25	Hedg
e Funds	25000000	Flat Fee	125000	125000	Paul Morris
Banking Products	THIRD LAKE CAPITAL RELATIONSHIP	Todd and Karen Wanek Marital Property Trust			
3/31/2016	25	Private Wealth Premium Money Market	10000000	BPS 40	4000
0	Paul Morris				
Cash Management	THIRD LAKE CAPITAL RELATIONSHIP	Third Lake Capital	3/31/2016	10	U.S.
IA - Fixed	100000000	BPS 25	250000	Paul Morris	
Deposits	THIRD LAKE CAPITAL RELATIONSHIP	SSW 2007 LLC	3/31/2016	10	Private Weal

th Premium Money Market	50000000	BPS	40	200000	Paul Morris			
Fixed Income	THIRD LAKE CAPITAL RELATIONSHIP			Third Lake Capital	3/31/2016	10	U.S.	
IA - Fixed	100000000	BPS	35	350000	Paul Morris			
HF Secondaries	TISCH FAMILY RELATIONSHIP			TFMG, LLC	3/31/2016	25	Hedge Funds	
5000000 Flat Fee	125000	125000	Paul Morris					
Deposits	TISCH FAMILY RELATIONSHIP			TFMG, LLC	3/31/2016	10	Private Weal	
th Premium Checking	50000000	BPS	40	200000	Paul Morris			
Stock Lending	TISCH FAMILY RELATIONSHIP			TFMG, LLC	3/31/2016	10	U.S. Structu	
red Lending (Secured)	50000000	BPS	100	500000	Paul Morris			
HF Secondaries	TISCH FAMILY RELATIONSHIP			Tisch Financial Management	3/31/2016	0		
Hedge Funds	0	Paul Morris						
Custody and Trading	TISCH FAMILY RELATIONSHIP			Tisch Financial Management	3/31/2016			
0 Onshore Custody	300000000	BPS	20	600000	Paul Morris			
Art Financing	TOMS CAPITAL LLC RELATIONSHIP			TOMS Capital Investment, LLC	3/31/2016	25		
U.S. Structured Lending (Secured)	50000000	BPS	100	500000	Paul Morris			
Commerical Real Estate	TOMS CAPITAL LLC RELATIONSHIP			Gottesman, Noam	3/31/2016	10	Comm	
ercial Real Estate	50000000	BPS	200	1000000	Paul Morris			
Real Estate Financing	TOMS CAPITAL LLC RELATIONSHIP			TOMS Capital Investment, LLC	3/31/2016			
10 U.S. Structured Lending (Secured)	60000000	BPS	100	600000	Paul Morris			
Introduction	TRUE NORTH ADVISORS RELATIONSHIP			True North Advisors, LLC	3/31/2016			
0 Private Wealth Premium Money Market	0	Stewart Oldfield						
Introduction	UNITED COMPANY RELATIONSHIP			United Company	3/31/2016	0	Private Weal	
th Premium Money Market	0	Stewart Oldfield						
Lending VIOLA, VINCENT RELATIONSHIP	Viola, Vincent	3/31/2016	10	U.S. Letter of Credi				
t 25000000	BPS	100	250000	Paul Morris				
HF Secondaries	WILLETT ADVISORS RELATIONSHIP			Willett Advisors, LLC	3/16/2016	25	Hedg	
e Funds 5000000 Flat Fee	125000	125000	Stewart Oldfield					
Structured Credit	WILLETT ADVISORS RELATIONSHIP			Willett Advisors, LLC	3/31/2016	10		
U.S. Letter of Credit	25000000	BPS	100	250000	Stewart Oldfield			
CRE Loan	WILSON, WELCOME RELATIONSHIP			Wilson, Welcome	3/31/2016	10	Commercial R	
eal Estate	200000000	BPS	100	2000000	Paul Morris			
Introduction	WINSTON ADVISORS RELATIONSHIP			Winston Advisors	3/31/2016	0	Priv	
ate Wealth Premium Money Market	0	Stewart Oldfield						
Petrides, George-	YORKTOWN PARTNERS, LLC RELATIONSHIP			Petrides, George	3/31/2016			
25 Brokerage (Commissions)	10000000	BPS	5	5000	Paul Morris			
Banking YORKTOWN PARTNERS, LLC RELATIONSHIP				Lawrence, Bryan	3/31/2016	25	Private Weal	
th Premium Checking	20000000	BPS	40	80000	Paul Morris			
IA YORKTOWN PARTNERS, LLC RELATIONSHIP				Warren, Glenn	3/31/2016	25	U.S. IA - RC	
M 50000000	BPS	35	175000	Paul Morris				
Structured Lending	YORKTOWN PARTNERS, LLC RELATIONSHIP			Yorktown Partners LLC	3/31/2016			
25 U.S. Structured Lending (Unsecured)	50000000	BPS	200	1000000	Paul Morris			
Brokerage	YORKTOWN PARTNERS, LLC RELATIONSHIP			Keenan, William Howard	3/31/2016	10		
Brokerage (Commissions)	25000000	BPS	5	12500	Paul Morris			

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Customer Name	Last Call Note	Customer Number	Status	Relationship	Tier	Rel. Net Worth	Rela
Investable Assets (Est.)	Revenue Potential (\$M per annum)	Notes	Last Modified Date				
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		

Stew 25

Customer Name	Last Call Note	Customer Number	Status	Relationship	Tier	Rel. Net Worth	Rela
Investable Assets (Est.)	Revenue Potential (\$M per annum)	Notes	Notes	Notes	Notes	Last Modified Date	Last Modified Date
Last Activity Date	Date Contacted	Category	Notes	Notes	Notes	Notes	Notes
54 MADISON PARTNERS RELATIONSHIP		00000520240	Active	Tier 1	H		
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						
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						
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						
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	

Prospects

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