

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	5,791.01	GBP	IBD				██████████	12.50.53	13.20.54	CWF9R000006Y

USDE : \$9,107.52  
 TRADE DATE: 12/17/2014  
 VALUE DATE: 12/18/2014

FEE DESCRIPTION	AMOUNT CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00 CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		BARCLAYS BANK PLC	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE ██████████ AXA PPP INTERNATIONAL

ADDITIONAL INSTRUCTIONS : POLICY REF AX100711598 401 ATLANTICSUITES EUROPORT GIBRALTAR GX11 1AA  
 RELEASE DATE : 2014-12-17  
 RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE
09999	-AML/AGGREGATION ALERT- 10 RULES TRIGGERED IN 2 REQUESTS

REASON : PAYMENT FOR HEALTH INSURANCE  
 STANDING INSTRUCTION : N  
 CURRENCY WIRES REF NUMBER :  
 Reg E Eligible : Yes  
 Was a foreign exchange transaction completed in connection with this wire request : Yes  
 Exchange Rate : 1.5647(Actual)  
 Currency : GBP

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	13.20.54	PAPP	
██████████	12/17/14	12.50.53	AWMH	Awaiting Mandatory Hold Period
██████████	12/17/14	12.50.53	SUBM	Disclosure provided at initiation

**CONFIDENTIAL**

SDNY\_GM\_00065920

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	110,000.00	EUR	IBD				██████████	13.52.29	16.42.53	CWF9R000008C

USDE : \$137,588.00  
TRADE DATE: 12/17/2014  
VALUE DATE: 12/18/2014

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$10.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		DEUTSCHE BANK AG	FRANKFURT AM MAIN	GERMANY	

SECOND

FFC

ULT BENE ██████████ SBOSGB2XXXX STATE ST BANK AND TRUST

ADDITIONAL INSTRUCTIONS : FFC FUND NJD1 ACCT 341432 CITCO BLDG WICKHAMS CAY ROAD TOWN TORTOLA BVI  
RELEASE DATE : 2014-12-17  
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03151	-DELIVERING ACCOUNT HAS AN ACCOUNT HOLD INDICATOR-COLLATERAL PLEDGE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
03303	-LEGAL ADDRESS OF CLIENT REQUIRED IN THE ADDITIONAL INSTRUCTION FIELD.
03600	-LOA REQUIRED. PLEASE FAX TO PERSHING
09921	-AML/EXCEEDS TURNOVER RATIO: REG/FOR ACCT-396% OVER STANDARD TIMEFRAME

REASON : SCANNING LOA  
STANDING INSTRUCTION : N  
CURRENCY WIRES REF NUMBER : IMD1CWF9R000008C  
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	16.42.54	PPR	
██████████	12/17/14	16.42.53	ULK	
██████████	12/17/14	16.42.53	APP	APPVD PER L2 APPVR COMMENTS/SUFF EUR IS AVAIL/LEG ADDR OK
██████████	12/17/14	16.41.55	LCK	
██████████	12/17/14	16.03.06	ULK	

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

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USER ID	DATE	TIME	STATUS	COMMENTS
██████	12/17/14	16.03.06	APP	LOA / DBAB SACA APPROVE JG / LGL ADDR
██████	12/17/14	16.00.08	LCK	
██████	12/17/14	14.58.32	ULK	
██████	12/17/14	14.58.32	HLD	PENDING ADDITIONAL INSTRUCTION. EMAIL TO DBAB SACA - PENDING REVIEW
██████	12/17/14	14.55.13	LCK	
██████	12/17/14	14.44.19	APP	
██████	12/17/14	14.44.19	ULK	
██████	12/17/14	14.44.19	APP	
██████	12/17/14	14.41.58	LCK	
██████	12/17/14	13.52.29	SUBM	

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	20,723.00	EUR	IBD				██████████	10.53.34	08.31.40	CWF9Q0000041

USDE : \$25,740.03  
TRADE DATE: 12/16/2014  
VALUE DATE: 12/17/2014

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	IP	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		JPMORGAN CHASE BANK, N.A.	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE ██████████ RIVERSIDE EUROPE PARTNERS, LLC

ADDITIONAL INSTRUCTIONS : REF FABIO PESIRI CD 26 27 28 29 3031 32 ADDRESS CORPORATE CENTER 1209ORANGE STREET WILMINGTON DE 1980111  
0  
RELEASE DATE : 2014-12-16  
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.

REASON : LOA UPLOADED.  
STANDING INSTRUCTION : N  
CURRENCY WIRES REF NUMBER : IMD1CWF9Q0000041  
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	08.31.40	SNT	
██████████	12/17/14	08.31.40	ULK	
██████████	12/17/14	08.31.40	APP	W9, SUFF EUR, PPWK RECD
██████████	12/17/14	08.29.37	LCK	
██████████	12/16/14	18.08.32	ULK	
██████████	12/16/14	18.08.32	HLD	PENDING ADDITIONAL ACTIVITY. AFTER APPVL CUTOFF TIME/LOA RECD/SUFF EUR AVAIL/REVIEW FOR APPROVAL ON 12/17
██████████	12/16/14	18.06.35	LCK	

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 2

USER ID DATE TIME STATUS COMMENTS

12/16/14 14.47.00 APP  
12/16/14 14.46.12 ULK  
12/16/14 14.46.12 APP  
12/16/14 14.45.31 LCK  
12/16/14 14.45.31 ULK  
12/16/14 14.45.06 LCK  
12/16/14 10.53.35 SUBM

ACCOUNT TYPE AMOUNT CCY BANK INIT DEPT DEPT INITIATED INITIATED UPDATED REQUEST  
BY AT AT ID

1 141,968.00 EUR IBD 10.54.54 03.31.34 CWF9Q0000047  
USDE : \$176,338.45  
TRADE DATE: 12/16/2014  
VALUE DATE: 12/17/2014

FEE DESCRIPTION AMOUNT CHARGE TO WAIVE FEE REASON

WIRE FEE \$30.00 IP N/A

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL

BANK JPMORGAN CHASE BANK, N.A. LONDON UNITED KINGDO

SECOND

FFC

ULT BENE RIVERSIDE EUROPE PARTNERS LLC

ADDITIONAL INSTRUCTIONS : REF ANTONIO CABRAL 26 27 28 29 30 31 32 ADDRESS CORPORATE CENTER 1209ORANGE STREET WILMINGTON DE 19801 1  
20

RELEASE DATE : 2014-12-16

RELEASE COMMENTS :

RULE NUMBER MESSAGE

03300 -THIRD PARTY REQUEST REQUIRES PERSHING REVIEW  
03301 -ALL CURRENCY WIRES TO APPROVAL.  
03504 -MULTIPLE REQUEST  
03600 -LOA REQUIRED. PLEASE FAX TO PERSHING

SDNY\_GM\_00065924

CONFIDENTIAL

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028749  
EFTA\_00176424

EFTA01256018

RUN DATE : 12/18/2014 - 00.05.03  
 REPORT ID: MBS050CA-02  
 IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
 ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 3

REASON : LOA UPLOADED.  
 STANDING INSTRUCTION : N  
 CURRENCY WIRES REF NUMBER : IMD1CWF9Q0000047  
 Reg E Eligible : No

USER ID DATE TIME STATUS COMMENTS

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[REDACTED] 12/17/14 03.31.34 SNT The Currency wire got settled.
[REDACTED] 12/16/14 15.24.26 PPR
[REDACTED] 12/16/14 15.24.26 ULK
[REDACTED] 12/16/14 15.24.26 APP APPVD PER L2 APPVR COMMENTS/SUFF EUR IS AVAILABLE
[REDACTED] 12/16/14 15.23.29 LCK
[REDACTED] 12/16/14 14.56.52 ULK
[REDACTED] 12/16/14 14.56.52 APP LOA / PRTRNSHP / MULTI / SUFF EUR / V/D 12-17
[REDACTED] 12/16/14 14.54.31 LCK
[REDACTED] 12/16/14 14.47.00 APP
[REDACTED] 12/16/14 14.46.40 ULK
[REDACTED] 12/16/14 14.46.40 APP
[REDACTED] 12/16/14 14.46.15 LCK
[REDACTED] 12/16/14 10.54.54 SUBM
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ACCOUNT TYPE AMOUNT CCY BANK INIT DEPT DEPT INITIATED BY INITIATED AT UPDATED AT REQUEST ID

[REDACTED] 1 30,000,000.00 GBP IBD [REDACTED] 12.26.31 03.31.14 CWF9Q000005R

USDE : \$46,839,000.00

TRADE DATE: 12/16/2014

VALUE DATE: 12/17/2014

FEE DESCRIPTION AMOUNT CHARGE TO WAIVE FEE REASON

WIRE FEE \$30.00 IP N/A

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL

BANK [REDACTED] DEUTSCHE BANK AG LONDON UNITED KINGDO

SECOND

FFC

ULT BENE [REDACTED] DEUTSCHE BANK AG, LONDON

ADDITIONAL INSTRUCTIONS : REF RMS SOME ADDRESS 45 ESPLANADE,ST HELIER JERSEY JE40WZ UK

RELEASE DATE : 2014-12-16

RELEASE COMMENTS :

SDNY\_GM\_00065925

**CONFIDENTIAL**

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028750  
 EFTA\_00176425

EFTA01256019

RULE NUMBER	MESSAGE
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.
03301	-ALL CURRENCY WIRES TO APPROVAL.
03617	-REQUEST EXCEEDS THRESHOLD. IBD REVIEW REQUIRED.
03620	-THIRD PARTY REQUEST USING STI EXCEEDS LIMIT. PERSHING REVEIW REQUIRED.
09982	-AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR MIN INVESTME

REASON : LOA UPLOADED.  
 STANDING INSTRUCTION : Y  
 CURRENCY WIRES REF NUMBER : IMD1CWF9Q000005R  
 Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████	12/17/14	03.31.14	SNT	The Currency wire got settled.
██████	12/16/14	17.26.01	PPR	
██████	12/16/14	17.26.01	ULK	
██████	12/16/14	17.26.01	APP	SUFF FUNDS. CONFIRMED PREVIOUS APPVL COMMENTS
██████	12/16/14	17.23.34	LCK	
██████	12/16/14	17.21.40	ULK	
██████	12/16/14	17.21.40	APP	STI / SUFF GBP / V/D 12-17 / AML APPROVED
██████	12/16/14	17.21.07	LCK	
██████	12/16/14	16.16.37	ULK	
██████	12/16/14	16.16.37	HLD	PENDING PERSHING REVIEW. EMAIL TO AML FOR REVIEW
██████	12/16/14	16.12.22	LCK	
██████	12/16/14	16.06.36	APP	
██████	12/16/14	16.06.36	ULK	
██████	12/16/14	16.04.22	LCK	
██████	12/16/14	15.36.14	ULK	
██████	12/16/14	15.36.14	APP	STI / SUFF GBP / V/D 12-17
██████	12/16/14	15.35.10	LCK	
██████	12/16/14	14.59.09	ULK	
██████	12/16/14	14.59.09	APP	
██████	12/16/14	14.59.04	LCK	
██████	12/16/14	14.10.48	ULK	
██████	12/16/14	14.10.48	APP	
██████	12/16/14	14.10.07	LCK	
██████	12/16/14	12.26.31	SUBM	

ACCOUNT	TYPE	AMOUNT	OCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID	
██████	1	17,559.00	GBP		IBD			██████	15.47.27	08.50.08	CBWF9Q0000083	
USDE : \$27,414.86												
TRADE DATE: 12/16/2014												
VALUE DATE: 12/17/2014												
FEE DESCRIPTION								AMOUNT	CHARGE TO	WAIVE FEE REASON		
WIRE FEE								\$30.00	IP	N/A		
BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL						

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 5

BANK-INFO SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████	BARCLAYS BANK PLC	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE ██████████ THE OXFORD GROUP

ADDITIONAL INSTRUCTIONS : REFERENCE 150 BOOKS. THE SEARCH FORPEACE IN THE ARAB ISRAELI CONFLICTBY ROD LARSEN  
RELEASE DATE : 2014-12-16  
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03026	-MONEY FUND CUTOFF TIME HAS PASSED. INTEREST CHARGES MAY APPLY
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
09982	-AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR MIN INVESTME
09984	-AML-VELOCITY TOTAL DISBURSEMENTS THRESHOLD EXCEEDED FOR A MIN INVESTM

REASON : 2124540039  
STANDING INSTRUCTION : N  
CURRENCY WIRES REF NUMBER : IMD1CWF9Q0000083  
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	08.50.08	SNT	
██████████	12/17/14	08.50.08	ULK	
██████████	12/17/14	08.50.08	APP	W9, SUFF GBP, PPWK RECD
██████████	12/17/14	08.46.19	LCK	
██████████	12/16/14	18.33.46	ULK	
██████████	12/16/14	18.33.46	HLD	PENDING ADDITIONAL ACTIVITY. AFTER APPVL CUTOFF TIME/LOA RECD/SUFF GBP IS AVAIL/REVIEW FOR APPRO VAL ON 12/17
██████████	12/16/14	18.31.33	LCK	
██████████	12/16/14	16.13.10	APP	
██████████	12/16/14	16.13.10	ULK	
██████████	12/16/14	16.13.10	APP	
██████████	12/16/14	16.10.26	LCK	
██████████	12/16/14	15.47.27	SUBM	

SDNY\_GM\_00065927

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	100,000.00	ZAR		IBD			██████████	11.57.46	03.31.02	CWF9P000004X

USDE : \$8,573.60  
 TRADE DATE: 12/15/2014  
 VALUE DATE: 12/17/2014

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	IP	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		STANDARD BANK OF SOUTH AFRICA	JOHANNESBURG	SOUTH AFRICA	
SECOND		██████████	STANDARD BANK OF SOUTH AFRICA			
FFC						
ULT BENE		██████████	THE TEAM POWERHOUSE TRUST			

ADDITIONAL INSTRUCTIONS :  
 RELEASE DATE : 2014-12-15  
 RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE

REASON : PER CLIENT REQUEST; LOA ON FILE; ZAR BALANCE SHOWN IN ACCOUNT IS 100,070 ZAR  
 STANDING INSTRUCTION : N  
 CURRENCY WIRES REF NUMBER : IMD1CWF9P000004X  
 Reg E Eligible : Yes  
 Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	03.31.02	SNT	The Currency wire got settled.
██████████	12/15/14	14.36.12	PPR	
██████████	12/15/14	14.36.12	ULK	
██████████	12/15/14	14.36.12	APP	LOA RECD-SUFF ZAR AV-SUFF T1 CASH CR + MMF AV TO CVR T2 USD DEBIT
██████████	12/15/14	14.36.01	LCK	
██████████	12/15/14	14.27.25	ULK	
██████████	12/15/14	14.27.25	APP	LOA RECD-SUFF ZAR AV-SUFF T1 CASH CR + MMF AV TO CVR T2 USD DEBIT

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 2

USER ID      DATE      TIME      STATUS      COMMENTS

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██████	12/15/14	14.25.46	LCK	
██████	12/15/14	12.36.57	APP	
██████	12/15/14	12.36.56	ULK	
██████	12/15/14	12.36.56	APP	
██████	12/15/14	12.34.38	LCK	
██████	12/15/14	12.27.47	PAPP	
██████	12/15/14	11.57.46	AWMH	Awaiting Mandatory Hold Period
██████	12/15/14	11.57.46	SUBM	Disclosure provided at initiation

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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	16,599.46	CHF	IBD				██████████	13.46.38	14.16.40	CWF9R000008A
USDE : \$17,294.69											
TRADE DATE: 12/15/2014											
VALUE DATE: 12/18/2014											
FEE DESCRIPTION											
AMOUNT CHARGE TO											
WAIVE FEE REASON											
-----											
WIRE FEE											
\$30.00 CUSTOMER N/A											
-----											
BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL					
-----											
BANK	██████████		UBS AG	ZURICH	SWITZERLAND						
SECOND											
FFC											
ULT BENE											
██████████ INSTITUT LE ROSEY											
ADDITIONAL INSTRUCTIONS : CARTER STONESIFER INVOICE REF 7643											
RELEASE DATE : 2014-12-17											
RELEASE COMMENTS :											
-----											
RULE NUMBER	MESSAGE										
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03100	-REG E ELIGIBLE WIRE										
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW										
03301	-ALL CURRENCY WIRES TO APPROVAL.										
03421	-REQUEST MAY BE SUBJECT TO TAX WITHHOLDINGS DUE TO W8/W9. PLEASE REVIEW.										
REASON : LOA ON FILE											
STANDING INSTRUCTION : N											
CURRENCY WIRES REF NUMBER :											
Reg E Eligible : Yes											
Was a foreign exchange transaction completed in connection with this wire request : No											
USER ID	DATE	TIME	STATUS	COMMENTS							
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██████████	12/17/14	14.16.40	PAPP								
██████████	12/17/14	13.46.39	AWMH	Awaiting Mandatory Hold Period							
██████████	12/17/14	13.46.39	SUBM	Disclosure provided at initiation							
=====											

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID		
[REDACTED]	1	10,000.00	EUR		IBD			[REDACTED]	14.00.30	14.30.33	CWF9R000008E		
USDE : \$12,508.00 TRADE DATE: 12/17/2014 VALUE DATE: 12/18/2014													
FEE DESCRIPTION								AMOUNT CHARGE TO	WAIVE FEE REASON				
WIRE FEE								\$30.00	CUSTOMER	N/A			
BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN			NAME	CITY			COUNTRY	INVL			
BANK	[REDACTED]				BNP-PARIBAS SA (FORMERLY BANQU	NIMES			FRANCE				
SECOND													
FFC													
ULT BENE		[REDACTED]			M NICOLAS LOSSKY								
ADDITIONAL INSTRUCTIONS :													
RELEASE DATE		: 2014-12-17											
RELEASE COMMENTS :													
RULE NUMBER	MESSAGE												
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.												
03026	-MONEY FUND CUTOFF TIME HAS PASSED. INTEREST CHARGES MAY APPLY												
03100	-REG E ELIGIBLE WIRE												
03301	-ALL CURRENCY WIRES TO APPROVAL.												
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE												
REASON : UPLOADING LOA AND HRM													
STANDING INSTRUCTION : Y													
CURRENCY WIRES REF NUMBER :													
Reg E Eligible : Yes													
Was a foreign exchange transaction completed in connection with this wire request : No													
USER ID	DATE	TIME	STATUS	COMMENTS									
[REDACTED]	12/17/14	14.30.33	PAPP										
[REDACTED]	12/17/14	14.00.30	AWMH	Awaiting Mandatory Hold Period									
[REDACTED]	12/17/14	14.00.30	SUBM	Disclosure provided at initiation									

SDNY\_GM\_00065931

**CONFIDENTIAL**

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	8,000.00	GBP	IBD	██████████	18.49.03	03.30.52	██████████	18.49.03	03.30.52	CWF9P00000AI

USDE : \$12,490.40  
TRADE DATE: 12/15/2014  
VALUE DATE: 12/17/2014

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		LLOYDS BANK PLC	ALTRINCHAM	UNITED KINGDO	

SECOND

FFC

ULT BENE : ██████████ MR N S GREWAL

ADDITIONAL INSTRUCTIONS : ACCT NUM 01290189 SORT CODE 309016LEGAL ADDR 306 EDGEWATER DR GILFORDNH 03249  
RELEASE DATE : 2014-12-16  
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.
03301	-ALL CURRENCY WIRES TO APPROVAL.
09921	-AML/EXCEEDS TURNOVER RATIO: REG/DOM ACCT-181% OVER STANDARD TIMEFRAME
09999	-AML/AGGREGATION ALERT- 2 RULES TRIGGERED IN 1 REQUESTS
03504	-MULTIPLE REQUEST
09921	-AML/EXCEEDS TURNOVER RATIO: REG/DOM ACCT-198% OVER STANDARD TIMEFRAME

REASON : STANDING LOA ON FILE  
STANDING INSTRUCTION : Y  
CURRENCY WIRES REF NUMBER : IMD1CWF9P00000AI  
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	03.30.52	SNT	The Currency wire got settled.
██████████	12/16/14	09.42.53	PFR	
██████████	12/16/14	09.42.52	ULK	
██████████	12/16/14	09.42.52	APP	
██████████	12/16/14	09.28.55	LCK	

SDNY\_GM\_00065932

**CONFIDENTIAL**

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0028757  
EFTA\_00176432

EFTA01256026

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 3

USER ID      DATE      TIME      STATUS      COMMENTS

-----  
[REDACTED] 12/16/14 09.28.49 ULK  
[REDACTED] 12/16/14 09.28.31 LCK  
[REDACTED] 12/16/14 03.02.09 PAPP  
[REDACTED] 12/16/14 03.02.05 SREJ      REJECTED - PENDING FOR MORE THAN ALLOWED NUMBER OF DAYS.  
[REDACTED] 12/15/14 18.49.03 POVR  
-----

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	2,000.00	EUR	IBD				██████████	09.51.57	03.31.12	CWF9Q000002V
USDE : \$2,484.20											
TRADE DATE: 12/16/2014											
VALUE DATE: 12/17/2014											
FEE DESCRIPTION											
WIRE FEE											
								\$30.00	CUSTOMER	N/A	

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		CREDIT LYONNAIS	PARIS	FRANCE	
SECOND						
FFC						
ULT BENE	██████████		NANCY HOEFIG			TOD DTD 09/05/05

ADDITIONAL INSTRUCTIONS : IBAN FR33 3000 2004 0100 0008 1290H87  
 RELEASE DATE : 2014-12-16  
 RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03301	-ALL CURRENCY WIRES TO APPROVAL.
03421	-REQUEST MAY BE SUBJECT TO TAX WITHHOLDINGS DUE TO W8/W9. PLEASE REVIEW.

REASON : OK  
 STANDING INSTRUCTION : Y  
 CURRENCY WIRES REF NUMBER : IMD1CWF9Q000002V  
 Reg E Eligible : Yes  
 Was a foreign exchange transaction completed in connection with this wire request : Yes  
 Exchange Rate : 1.2500 (Actual)  
 Currency : USD

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	03.31.12	SNT	The Currency wire got settled.
██████████	12/16/14	11.34.30	PFR	
██████████	12/16/14	11.34.30	ULK	
██████████	12/16/14	11.34.30	APP	FDS AVA VD 12-17/W9/SLOA/DBAB
██████████	12/16/14	11.33.56	LCK	
██████████	12/16/14	10.49.23	ULK	
██████████	12/16/14	10.49.23	APP	REG E COMPLETE
██████████	12/16/14	10.49.11	LCK	

USER ID DATE TIME STATUS COMMENTS

-----  
 [REDACTED] 12/16/14 10.48.50 ULK  
 [REDACTED] 12/16/14 10.48.43 LCK  
 [REDACTED] 12/16/14 10.21.58 PAPP  
 [REDACTED] 12/16/14 09.51.57 AWMH Awaiting Mandatory Hold Period  
 [REDACTED] 12/16/14 09.51.57 SUBM Disclosure provided at initiation  
 -----

ACCOUNT TYPE AMOUNT CCY BANK INIT DEPT DEPT INITIATED INITIATED UPDATED REQUEST  
 BY AT AT ID

-----  
 [REDACTED] 1 11,976.04 AUD IBD [REDACTED] 09.56.52 03.30.56 CWF9Q000002Y

USDE : \$9,828.73  
 TRADE DATE: 12/16/2014  
 VALUE DATE: 12/17/2014

FEE DESCRIPTION AMOUNT CHARGE TO WAIVE FEE REASON

-----  
 WIRE FEE \$30.00 CUSTOMER N/A

BANK-INFO SWIFT ID LOCAL BRANCH CODE/ACCT NO/IBAN NAME CITY COUNTRY INVL

-----  
 BANK [REDACTED] ST.GEORGE BANK, A DIVISION OF SYDNEY AUSTRALIA

SECOND

FFC

ULT BENE [REDACTED] MJ & JS SIFONIS

ADDITIONAL INSTRUCTIONS : BSB 192 879 2205MEDITERRANEAN AVENUE ARLINGTON TX76011 2614

RELEASE DATE : 2014-12-16

RELEASE COMMENTS :

RULE NUMBER MESSAGE

-----  
 03100 -REG E ELIGIBLE WIRE  
 03151 -DELIVERING ACCOUNT HAS AN ACCOUNT HOLD INDICATOR-ACCOUNT GUARANTY  
 03300 -THIRD PARTY REQUEST REQUIRES PERSHING REVIEW  
 03301 -ALL CURRENCY WIRES TO APPROVAL.  
 03303 -LEGAL ADDRESS OF CLIENT REQUIRED IN THE ADDITIONAL INSTRUCTION FIELD.  
 03419 -AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE

REASON : RESUBMIT FROM YESTERDAY...IBAN NOT NEEDED

REPORT ID: MBS050CA-02

ACTIVITY REPORT FOR THE DATE : 12/17/2014

IBD NO : 6XE

STANDING INSTRUCTION : N

CURRENCY WIRES REF NUMBER : IMD1CWF9Q000002Y

Reg E Eligible : Yes

Was a foreign exchange transaction completed in connection with this wire request : No

USER ID DATE TIME STATUS COMMENTS

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[REDACTED] 12/17/14 03.30.56 SNT The Currency wire got settled.
[REDACTED] 12/16/14 12.07.17 PPR
[REDACTED] 12/16/14 12.07.17 ULK
[REDACTED] 12/16/14 12.07.17 APP LOA RECD/LEG ADDR-SUFF AUD AV-COMB A/C 6XE998325 HAS SUFF XCS AV-IDENTIFIABLE
[REDACTED] 12/16/14 12.07.01 LCK
[REDACTED] 12/16/14 11.55.02 ULK
[REDACTED] 12/16/14 11.55.02 APP LOA RECD/LEG ADDR-SUFF AUD AV-COMB A/C 6XE998325 HAS SUFF XCS AV-IDENTIFIABLE
[REDACTED] 12/16/14 11.48.17 LCK
[REDACTED] 12/16/14 10.31.52 APP
[REDACTED] 12/16/14 10.31.51 ULK
[REDACTED] 12/16/14 10.31.51 APP
[REDACTED] 12/16/14 10.31.42 LCK
[REDACTED] 12/16/14 10.26.53 PAPP
[REDACTED] 12/16/14 09.56.52 AWMH Awaiting Mandatory Hold Period
[REDACTED] 12/16/14 09.56.52 SUBM Disclosure provided at initiation
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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
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[REDACTED]	1	63,103.06	GBP	IBD				[REDACTED]	07.40.03	08.43.31	CWF9R000001P
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USDE : \$99,242.18

TRADE DATE: 12/17/2014

VALUE DATE: 12/17/2014

FEE DESCRIPTION	AMOUNT	CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$30.00	CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
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BANK	[REDACTED]		NATWEST-JERSEY	ST. HELIER	JERSEY	
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SECOND

FFC

ULT BENE	[REDACTED]		JORGE A CALDERON	429 GREENWICH ST APT 3C		
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ADDITIONAL INSTRUCTIONS :  
 RELEASE DATE : 2014-12-17  
 RELEASE COMMENTS :

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 4

RULE NUMBER            MESSAGE  
-----  
03100            -REG E ELIGIBLE WIRE  
03301            -ALL CURRENCY WIRES TO APPROVAL.  
03421            -REQUEST MAY BE SUBJECT TO TAX WITHHOLDINGS DUE TO W8/W9. PLEASE REVIEW.

REASON : AS PER CLIENT  
STANDING INSTRUCTION : Y  
CURRENCY WIRES REF NUMBER : IMD1CWF9R000001P  
Reg E Eligible : Yes  
Was a foreign exchange transaction completed in connection with this wire request : Yes  
Exchange Rate : 1.5800(Actual)  
Currency : GBP

USER ID	DATE	TIME	STATUS	COMMENTS
██████	12/17/14	08.43.31	SNT	
██████	12/17/14	08.43.31	ULK	
██████	12/17/14	08.43.31	APP	FDS AVA VD 12-17/W9/SLOA/DBAB/FDS TO OCOVER FEE
██████	12/17/14	08.41.24	LCK	
██████	12/17/14	08.37.48	ULK	
██████	12/17/14	08.37.48	APP	REG E COMPLETE
██████	12/17/14	08.37.37	LCK	
██████	12/17/14	08.10.05	PAPP	
██████	12/17/14	07.40.03	AWMH	Awaiting Mandatory Hold Period
██████	12/17/14	07.40.03	SUBM	Disclosure provided at initiation

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 1

ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	330,000.00	EUR	IBD	██████████				10.19.23	11.55.46	CWF9R0000038

USDE : \$412,764.00  
TRADE DATE: 12/17/2014  
VALUE DATE: 12/18/2014

FEE DESCRIPTION	AMOUNT CHARGE TO	WAIVE FEE REASON
WIRE FEE	\$7.50 CUSTOMER	N/A

BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN	NAME	CITY	COUNTRY	INVL
BANK	██████████		COUTTS AND CO.	LONDON	UNITED KINGDO	

SECOND

FFC

ULT BENE ██████████ GAGOSIAN GALLERY OF LONDON

ADDITIONAL INSTRUCTIONS : REF INVOICE NO L2014277 ACCT NO 10059548 CLIENT ADDRESS 37 FOURNIERSTREET LONDON E1 6QE UNITED KINGDO  
RELEASE DATE : 2014-12-17  
RELEASE COMMENTS :

RULE NUMBER	MESSAGE
03100	-REG E ELIGIBLE WIRE
03300	-THIRD PARTY REQUEST REQUIRES PERSHING REVIEW
03301	-ALL CURRENCY WIRES TO APPROVAL.
03303	-LEGAL ADDRESS OF CLIENT REQUIRED IN THE ADDITIONAL INSTRUCTION FIELD.
03600	-LOA REQUIRED. PLEASE FAX TO PERSHING
09921	-AML/EXCEEDS TURNOVER RATIO: REG/FOR ACCT-284% OVER STANDARD TIMEFRAME
09951	-AML-VELOCITY JOURNAL TRANSACTION THRESHOLD EXCEEDED FOR AN ESTABLISHE
09952	-AML-VELOCITY FED FUND TRANSACTION THRESHOLD EXCEEDED FOR AN ESTABLISH
09955	-AML-VELOCITY TOTAL DISBURSEMENTS THRESHOLD EXCEEDED FOR AN EST PRO-CA
09957	-AML-VELOCITY TOTAL TRANSACTIONS THRESHOLD EXCEEDED FOR AN EST PRO-CAS

REASON : SCANNING LOA  
STANDING INSTRUCTION : N  
CURRENCY WIRES REF NUMBER : IMD1CWF9R0000038  
Reg E Eligible : Yes  
Was a foreign exchange transaction completed in connection with this wire request : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████████	12/17/14	11.55.46	PPR	

SDNY\_GM\_00065938

RUN DATE : 12/18/2014 - 00.05.03  
REPORT ID: MBS050CA-02  
IBD NO : 6XE

ASSET MOVEMENT ACTIVITY - CURRENCY WIRES  
ACTIVITY REPORT FOR THE DATE : 12/17/2014

REPORT PAGE: 2

USER ID      DATE      TIME      STATUS      COMMENTS

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██████	12/17/14	11.55.46	ULK	
██████	12/17/14	11.55.46	APP	APPVD PER L2 APPVR COMMENTS/SUFF EUR IS AVAILABLE
██████	12/17/14	11.54.41	LCK	
██████	12/17/14	11.42.19	ULK	
██████	12/17/14	11.42.19	APP	LOA / LGL ADDR / SUFF EUR / V/D 12-18
██████	12/17/14	11.40.27	LCK	
██████	12/17/14	10.52.52	APP	
██████	12/17/14	10.52.52	ULK	
██████	12/17/14	10.52.52	APP	
██████	12/17/14	10.50.07	LCK	
██████	12/17/14	10.49.27	PAPP	
██████	12/17/14	10.19.24	AWMH	Awaiting Mandatory Hold Period
██████	12/17/14	10.19.24	SUBM	Disclosure provided at initiation

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ACCOUNT	TYPE	AMOUNT	CCY	BANK	INIT	DEPT	DEPT	INITIATED BY	INITIATED AT	UPDATED AT	REQUEST ID
██████████	1	1,000.00	GBP	IBD				██████████	19.42.22	19.42.23	CWF9R00000AY
USDE : \$1,564.30 TRADE DATE: 12/12/2014 VALUE DATE: 12/18/2014											
FEE DESCRIPTION								AMOUNT CHARGE TO		WAIVE FEE REASON	
WIRE FEE								\$30.00	CUSTOMER	N/A	
BANK-INFO	SWIFT ID	LOCAL BRANCH CODE/ACCT NO/IBAN			NAME	CITY		COUNTRY		INVL	
BANK	██████████				BARCLAYS BANK PLC	LONDON		UNITED KINGDO			
SECOND											
FFC											
ULT BENE		████████████████████			ERNEST S.ROGERS JR &		VALERIE A.ROGERS				
ADDITIONAL INSTRUCTIONS : BANK ADDRESS WESTMINISTER BRANCH 2VICTORIA STREET LONDON SW1H 0ND ENGLAND SORT CODE 20 9448 ACCOUNT NO 3 804568											
RELEASE DATE : 2014-12-17											
RELEASE COMMENTS :											
RULE NUMBER	MESSAGE										
02790	-THIRD PARTY REQUESTS REQUIRE PERSHING REVIEW.										
03026	-MONEY FUND CUTOFF TIME HAS PASSED. INTEREST CHARGES MAY APPLY										
03301	-ALL CURRENCY WIRES TO APPROVAL.										
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE										
03421	-REQUEST MAY BE SUBJECT TO TAX WITHHOLDINGS DUE TO W8/W9. PLEASE REVIEW.										
REASON : ACKNOWLEDGED											
STANDING INSTRUCTION : Y											
CURRENCY WIRES REF NUMBER :											
Reg E Eligible : No											
USER ID	DATE	TIME	STATUS	COMMENTS							
██████████	12/17/14	19.42.23	POVR								





RULE NUMBER	MESSAGE
03301	-ALL CURRENCY WIRES TO APPROVAL.
03303	-LEGAL ADDRESS OF CLIENT REQUIRED IN THE ADDITIONAL INSTRUCTION FIELD.
03419	-AMOUNT REQUESTED IS GREATER THAN FUNDS AVAILABLE
09924	-AML/EXCEEDS TURNOVER RATIO: MIN/FOR ACCT-114% OVER STANDARD TIMEFRAME

REASON : IMAGING DOCS. LEGAL ADDY ADDED. THANKS  
STANDING INSTRUCTION : N  
CURRENCY WIRES REF NUMBER : IMD1CWF9P000003Q  
Reg E Eligible : No

USER ID	DATE	TIME	STATUS	COMMENTS
██████	12/17/14	08.24.11	SNT	
██████	12/17/14	08.24.10	ULK	
██████	12/17/14	08.24.10	APP	EUR AVAIL - LEGAL ADDED - LOA ON FILE
██████	12/17/14	08.20.47	LCK	
██████	12/17/14	08.20.41	ULK	
██████	12/17/14	08.20.41	APP	FDS AVA VD 12-17/W8-11/LOA RECD/DBAB/LEGAL ADD
██████	12/17/14	08.19.33	LCK	
██████	12/16/14	17.52.23	ULK	
██████	12/16/14	17.52.23	HLD	PENDING ADDITIONAL ACTIVITY. PAST CUTOFF/PLEASE APPROVE (LOA RECD-LEG ADDR ADDED-SUFF EUR NOW AV )
██████	12/16/14	17.50.44	LCK	
██████	12/15/14	18.18.35	ULK	
██████	12/15/14	18.18.35	HLD	INSUFFICIENT FUNDS. ACCT ONLY HAS 792.33 EUR AV-LEFT VOICE MAIL FOR LIZ
██████	12/15/14	18.18.12	LCK	
██████	12/15/14	18.15.00	ULK	
██████	12/15/14	18.15.00	HLD	INSUFFICIENT FUNDS. INSUFFICIENT EUR AV-ACCT ONLY HAS 792.33 EUR
██████	12/15/14	18.11.12	LCK	
██████	12/15/14	12.25.10	APP	
██████	12/15/14	12.25.10	ULK	
██████	12/15/14	12.25.10	APP	
██████	12/15/14	12.24.43	LCK	
██████	12/15/14	12.24.06	ULK	
██████	12/15/14	12.21.20	LCK	
██████	12/15/14	11.01.00	SUBM	