

From: Bradley Gillin [REDACTED]
Sent: 8/23/2018 11:52:57 AM
To: Terri Sohrab [REDACTED]
Subject: FW: KYC Remediation update [I]
Attachments: RE_ Requested information for [REDACTED].msg; 2018 Periodic Review of High Risked Accounts [REDACTED].msg

Importance: High

Classification: For internal use only

See High risk list below.

From: Vijay-A Sawant
Sent: Thursday, August 23, 2018 11:52 AM
To: Bradley Gillin <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Alka Babu <[REDACTED]>; Mayur Rathod <[REDACTED]>
Subject: RE: KYC Remediation update [I]
Importance: High

Hi Brad,

Following are the ongoing **high risked** accounts which are overdue for remediation in ascending order, their statuses below –

- AMAAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- HATTAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- MARSALA HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- JCP IV QP, LLC – DueDate 06/30/2018 – Docs received yesterday, pending review. Will advise as soon as that is done.
- [REDACTED], [REDACTED], [REDACTED] – DueDate 07/27/2018 – Docs required as per attached 2nd email
- Cerberus Executive, LLC – DueDate 07/31/2018 – Awaiting docs as per attached 3rd email. I am aware that you have followed up with client on this, so thanks for that.
- Aircraft Acquisition Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Sillerman Investment Company III, LLC – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Tomorrow Foundation – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Elderberry X, LLC – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Sillerman Investment Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Epstein, Jeffrey E. – DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- Southern Financial LLC - DueDate 08/08/2018 – Awaiting docs as per attached 8th email attached.
- Southern Trust Company, Inc. - DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- J. Epstein Virgin Islands Foundation, Inc - DueDate 08/08/2018 – Docs & confirmation required as per attached 10th email
- GoldenTree Asset Management UK LLP- DueDate 08/09/2018 – Docs & confirmation required as per attached 11th email
- Gratitude America Ltd – DueDate 08/16/2018– Awaiting docs as per attached 6th email attached.