

Cynthia Rodriguez

From: Renee Salhi on behalf of PWMUS AMLKYC
Sent: Wednesday, October 12, 2016 2:35 PM
To: Cynthia Rodriguez; PWMUS AMLKYC
Subject: CLEARED: RDC ALERT - Richard Kahn and PCR ALERT - Darren Indyke [I]

Classification: **For internal use only**

Hello Cynthia,

AML Compliance has reviewed the PCR alert generated for Darren Indyke, beneficiary of the Butterfly Trust, client of the Private Bank.

The subject of the alert is a positive match to Mr. Indyke who has a reference on file with compliance . AML Compliance clears this alert from an AML perspective.

Kind regards,
Renée Salhi



Renée Salhi
Associate | AML Compliance Officer

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From: Cynthia Rodriguez
Sent: Wednesday, October 12, 2016 12:08 PM
To: PWMUS AMLKYC
Subject: RDC ALERT - Richard Kahn and PCR ALERT - Darren Indyke

Dear AML Compliance,

Attached are RDC alerts for Darren Indyke and Richard Kahn who have been previously KYC approved and are part of KYC Update case 01651789. The alerts reference the following:

- Richard Kahn, of New York, appears on NY Stock Exchange Disciplinary Actions.
- Richard Jeffrey Kahn, of Florida, appears on Florida Office of Financial Regulation list of Final Orders.
- Richard Leroy Kann aka RICHARD L KAHN, DOB: 8/14/1961, of GOLDEN, Colorado, appears on the list of Colorado - Sex Offenders
- Richard L. Kahn, 1962, of Havana, Illinois, was wanted on a charge of calculated criminal drug conspiracy.
- Darren Indyke has a PCR alert, but the alerts don't reference anything specific.

Please clear these alerts for the following reasons:

- These alerts are false positives as the Richard Kahn that is previously KYC approved has a date of birth of 12/06/1972 and resides at 130 E 75th Street #7E New York, NY 10021. He is an attorney at HBRK Associates in New York.
- Darren Indyke is previously KYC approved has a date of birth of 2/19/1965 and resides at 2 Kean Court Livingston NJ 07039. He is currently employed at Southern Financial LLC.

Kind regards,

Cynthia Rodriguez



Cynthia Rodriguez
Assistant Vice President

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