

From:
To:
Cc:

Date: 09/04/2013 04:28 PM
Subject: CLEARED_Richard D Kahn rdc alert [!]

Classification: For internal use only

Hi Amanda -

As per our conversation, AML Compliance clears the below alert - this is a POSITIVE hit - this alert was generated regarding the trustee of the perspective client, a trust for Jeffrey Espstien, who is a current DB Client. The trustee is an account, who is named in an NYSE ARCA, Inc regulatory proceeding dated April 20, 2012. It appears that the 21 defendants are/were in violation of NYSE ARCA Equities Rule 10.2(d) for filing to provide testimony as request by FINRA. AML Compliance clears this alert, as 1) this is an account who will be the trustee of the a perspective client, 2) the settlor (Jeffery Epstien) is not related to the FINRA proceeding, and 3) there is no other negative media pertaining to Mr. Kahn. As such this is CLEARED from an AML Peseptive.

Best, Michael

From:
To:
Cc:

Date: 09/04/2013 11:09 AM
Subject: Re: Richard D Kahn rdc alert [!]

Classification: For internal use only

Hi,

The below RDC alerts do pertain to our client. Richard D Kahn is the person in question. However, he will not be a client of the bank. We are opening an account for a trust, for which he is a trustee. It does not seem that he would pose any risk (reputational or otherwise) to the bank. Please approve

[attachment "Richard D Kahn rdc alert.pdf" deleted by Amanda Kirby/db/dbcom] [attachment "Richard D Kahn rdc alert_1.pdf" deleted by Amanda Kirby/db/dbcom]

From:
To:
Cc:
Date:
Subject:

09/03/2013 04:32 PM
Richard D Kahn rdc alert
[!]

SDNY_GM_00065009

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

CONFIDENTIAL

DB-SDNY-0027834
EFTA_00175509

EFTA01299231

Classification: For internal use only

Hello,

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue.

Include copies of all responses along with your KYC.

[attachment "Richard D Kahn rdc alert.pdf" deleted by Amanda Kirby/db/dbcom] [attachment "Richard D Kahn rdc alert_1.pdf" deleted by Amanda Kirby/db/dbcom]

Regards

Urvashi

SDNY_GM_00065010

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CONFIDENTIAL

DB-SDNY-0027835

EFTA_00175510

EFTA01299232