

## Cynthia Rodriguez

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**From:** Renee Salhi on behalf of PWMUS AMLKYC  
**Sent:** Wednesday, October 12, 2016 2:15 PM  
**To:** Cynthia Rodriguez; PWMUS AMLKYC  
**Subject:** CLEARED: RDC ALERT - Richard Kahn [I]

Classification: **For internal use only**

Hello Cynthia,

AML Compliance has reviewed the four RDC alerts generated for Richard Kahn, beneficiary of the Butterfly Trust, client.

**Alert #1:**

- The subject of the alert resides in PA.
- The beneficiary resides in NY and has no address history in PA according to LexisNexis.

AML Compliance clears this alert from an AML perspective as the location of the beneficiary does not match that of the alert subject.

Alert subject information:

<https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/disciplinary-actions/2012/12-ARCA-3.pdf>

**Alert #2:**

- The subject of the alert resides in FL.
- The beneficiary resides in NY and has no address history in FL according to LexisNexis.

AML Compliance clears this alert from an AML perspective as the location of the beneficiary does not match that of the alert subject.

Alert subject information:

**Alert #3:**

- The subject of the alert was born in 1961.
- The beneficiary was born in 1972.

AML Compliance clears this alert from an AML perspective as the age of the alert subject does not match that of the beneficiary.

**Alert #4:**

- The subject of the alert was born in 1962.
- The beneficiary was born in 1972.

AML Compliance clears this alert from an AML perspective as the age of the alert subject does not match that of the beneficiary.

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: [REDACTED], 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 [REDACTED] and resides at [REDACTED]. He is an attorney at HBRK Associates in New York.
- Darren Indyke is previously KYC approved has a date of birth of [REDACTED] and resides at [REDACTED]. He is currently employed at Southern Financial LLC.

Kind regards,

Cynthia Rodriguez



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