

From: Vaishali-P Mehta
Sent: Wednesday, November 09, 2016 3:42 PM
To: Andrew Gallivan
Cc: Douglas Robertson; Stewart Oldfield; Thomas-B Mayer; Mark Gonzalez
Subject: RE: MD Approval for ACUs for High Risk Clients [I]

Classification: **For internal use only**

Hello Andrew

Could you please approve the below ACUs completed for High Risk Clients for this month?

Regards,

Vaishali Mehta
 Head of Anti-Money Laundering Business Risk
 Deutsche Bank Wealth Management
 101 California Street, Suite 2400, San Francisco, CA USA
 Tel. [REDACTED]
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 Email [REDACTED]

From: Vaishali-P Mehta
Sent: Wednesday, October 26, 2016 1:48 PM
To: Andrew Gallivan
Cc: Douglas Robertson; Stewart Oldfield; Thomas-B Mayer; Mark Gonzalez
Subject: MD Approval for ACUs for High Risk Clients [I]

Classification: **For internal use only**

Dear Andrew,

As you know, our procedures require MDs to approve all ACUs completed for High Risk clients each month.

Please review the below ACUs completed and approve them.

Annual Client Update: ID	GCIS Customer Number	Customer Owner	MD	Customer Name	Annual Client Update: Created Date	A14.	A15. Client Status Update Description	A16.	A17.
[REDACTED]	[REDACTED]	Douglas Robertson	Andrew Gallivan	Atlantix Investment LLC	10/12/2016	I spoke to Jane about coming changes to the accounts to be reflected by KYC updates not yet ready.	No changes yet.	No	No