



Passion to Perform

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From: Andrea Tapia
Sent: Thursday, November 06, 2014 5:29 PM
To: Melisa Venegas
Cc: Kimberly Hart; Armen Brash
Subject: RE: October 2014 AML/KYC Escalation Reports [I]

Classification: **For internal use only**

Hi Melissa,

In the attached file, please find the list of ACUs that should be taken off the list. Most of these customer's accounts have been closed, two are Brokerage only, two should be transferred to IA, and one has an existing KYC. We are working with the respective Banker teams to resolve the remaining ACU's not included. Please see the corresponding notes in column N and let me know if you have any questions.

Kind regards,
Andrea Tapia



Andrea Tapia
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154-0004
Tel: (212) 154-7861



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From: Kimberly Hart
Sent: Wednesday, November 05, 2014 11:35 AM
To: Andrea Tapia
Subject: Fw: October 2014 AML/KYC Escalation Reports [I]

Classification: For internal use only
