

DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l **PART B**



Relationship Name	ZUECH, CHRIS RELATIONSHIP				
Risk Rating Comments:	Derek St-Hilaire confirmed the moderate risk rating on 10/12/18.				
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input checked="" type="checkbox"/> Moderate Risk	<input type="checkbox"/> High Risk
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee	<input type="checkbox"/> Bearer Shares		

4. Attachments				
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License	<input type="checkbox"/> Passport	<input type="checkbox"/> National/State ID	<input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No		
C. Please indicate the results of the database searches performed				
RDC searches complete	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Please summarize any negative results from the database searches indicated above: David Jelinek - court cases all a false positive. Our David was born in [REDACTED], he is [REDACTED]. The Chicago case involves a 61 year old; for the CA case, he would have been 10.</p> <p>William Vandewater - small claims disposed 2007.</p> <p>ESM - Cases closed.</p> <p>Eric S Meyer Our Eric is from [REDACTED]. These small civil court cases, all related, are in from Chicago.</p> <p>Chris Zuech - Chris worked for both Carlyle group, one of the largest private equity funds in the world, and Vermillion. Carlyle Group was sued by a former portfolio manager in one of its hedge funds, who alleges the firm and its hedge fund's partners knowingly misled investors.</p>				
D. Zuech, who was Vermillion's chief operating officer and next had a similar role at Carlyle Commodity Management, was named as a defendant. The case was closed on 8/2016.				
See below regarding the only RDC alert. This has been AML for a week and waiting for clearance.				
MLC Investment Limited is the Trustee to two large Australian superannuation (Pension) funds in Australia. These funds are KYC parties to our account holder.				
MLC is part of National Australia Bank's wealth management business and has been around for 130 years.				
This alert contains a class action lawsuit against National Australia Bank and its wealth management business MLC. The lawsuit claims that they engage in 'unconscionable conduct' by selling credit card insurance to holder who were ineligible to claim under its term. The lawsuit is very recent - 9/27/2018.				
National Australia Bank is a public company - as one of the four largest public financial institutions, this is considered normal part of business. Please clear the alert. Thank you.				