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**From:** Urvashi Lavania [REDACTED]  
**on behalf of** PWM BIS-Research [REDACTED]  
**Sent:** 11/14/2014 10:08:05 AM  
**To:** Amanda Kirby [REDACTED]  
**CC:** PWMUS AMLKYC [REDACTED]  
**Subject:** Richard Kahn rdc and pcr alert [I]  
**Attachments:** Richard Kahn pcr alert.pdf; Richard Kahn pcr alert\_1.pdf; Richard Kahn rdc alert.pdf; Richard Kahn rdc alert\_1.pdf

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.

(See attached file: Richard Kahn pcr alert.pdf)(See attached file: Richard Kahn pcr alert\_1.pdf)(See attached file: Richard Kahn rdc alert.pdf)(See attached file: Richard Kahn rdc alert\_1.pdf)

Regards  
Urvashi