

(See attached file: Richard Kahn Email Confirmation for Compliance.pdf)(See attached file: Richard Kahn RDC Alert CLEARANCE 2013.pdf)

Best,
Amanda Kirby

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Amanda Kirby

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Securities offered through Deutsche Bank Securities Inc.
----- Forwarded by Amanda Kirby/d [REDACTED] on 11/14/2014 10:52 AM -----

From: PWM BIS-Research/db/[REDACTED]
To: Amanda Kirby/db/[REDACTED],
Cc: PWMUS AMLKYC/db/[REDACTED]
Date: 11/14/2014 10:08 AM
Subject: Richard Kahn rdc and pcr alert [I]

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