

0075019	Paul Morris	US-Onshore	00000486423	Jeepers, Inc	5/10/2016	Jeepers is sub S managing various investments	investment activities, advisory services	Yes	No
0075018	Paul Morris	US-Onshore	00000487266	Mort, Inc	5/10/2016	Mort is entity holding shares of private company Jawbone	Holds private investment	No	No
0075021	Paul Morris	US-Onshore	00000486428	The Haze Trust	5/10/2016	Investment vehicle	No change	Yes	No

If this any information is not correct or you are aware of a material change that has not been reflected, please let us know immediately as a KYC update will be required.

Regards,

Vaishali Mehta

Head of Anti-Money Laundering Business Risk  
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*Passion to Perform*

**From:** Vaishali-P Mehta

**Sent:** Wednesday, May 25, 2016 4:30 PM

**To:** Armen Brash; Lina M Arias; Sylvia Junghardt; Daphne Cales; Scott Guest; Dawn Forbes; Amy Horak

**Cc:** zia Memon

**Subject:** MDs Approvals required for ACUs completed for High Risk clients. [I]

Classification: **For internal use only**

Hello All,

As you know, the Bank is taking a very close look at the KYC process in each of the business divisions. At the beginning of the year, several control enhancements were rolled out, including ExCo approval for all new high risk account holders. Along these lines, effective immediately, the approval of a Managing Director will be required for all ACUs completed for high risk clients.

While we work to implement a workflow within db force, a manual process will begin this month. Each month, I will be sending a list of all ACUs completed for high risk customers to the accountable managing director—in some cases this will be the RM, in some cases this will be the office director. Each accountable managing director will need to review the ACUs completed and reply back with their approval (or rejection, if applicable) ABR will maintain a file of all complete and overdue MD approvals. .

The accountable Managing Director will receive an email similar to the one below, including the list of ACUs completed for the client along with the comments contained within the ACU.