

In a small percentage of these cases, Compliance must contact the Wealth Advisor for additional information about the transaction(s) in order to conclude the research process. Your response is required for the Bank to comply with federal guidelines for concluding the research of these matters in a timely fashion. Your complete response **must** be received within 7 business days.

To the best of your ability, please provide details regarding the item(s) below:

Incoming:

10/27/2016, \$6,186,980.68, HSBC SECURITIES SERVICES (IRELAND) DAC at HSBC BANK USA, NATIONAL ASSOCIATION

1. Who is the ultimate originator of these funds (i.e. if this is investment income, please give the name of the investment that the funds originate)?

Outgoing:

11/23/2016, \$25,000,000.00, AP NARROWS HOLDING LP/BMO TRUSTEE at CDEC CLEARING ACCOUNT through BANK OF AMERICA, N.A., NY

11/23/2016, \$5,000,000.00, LDB 2011 LLC/BMO TRUSTEE at CDEC CLEARING ACCOUNT through BANK OF AMERICA, N.A., NY

1. What is the purpose of the Outgoing Transfer?
2. What is the relationship between Beneficiary and Client?
3. Please provide the source of wealth for these entities.

Thank you in advance for your prompt attention to this matter.

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance
Deutsche Bank
60 Wall St., 23 Floor
New York, NY 10005 - 2836

PLEASE NOTE: YOU ARE BEING CONTACTED BECAUSE YOU ARE LISTED AS THE PRIMARY OFFICER FOR THIS ACCOUNT ON GCIS. IF YOU ARE NOT THE CURRENT PRIMARY OFFICER, PLEASE LET ME KNOW IMMEDIATELY, SO THAT I MAY FORWARD THIS EMAIL TO THE APPROPRIATE PARTY.

Do not forward this e-mail or any attachment directly to the client.