
From: Laura Kang [REDACTED]
Sent: 8/1/2016 5:49:19 PM
To: Wayne Salit [REDACTED]; Maria Pedulla [REDACTED]; Dmitri Saks [REDACTED]; Carlos-A Garcia [REDACTED]; Doreen Hughes [REDACTED]
CC: Tope Owoyemi [REDACTED]
Subject: FW: KYC Corporate Finance
Attachments: 2016 EDD-EDR KOPs.docx; 2015 Log of AML Investigations.xlsx; Jan - March 2016 Investigations Log.xlsx; AML_NCA Assessment Desktop Procedures.doc; Assessment Form - Blank.docx; 2015 Q4 GCF File Assessment.pdf; Conditional Approval Tracking Sheet.xlsx; FW_Q1 Sample for AFC Review [I] (43.0 KB).msg

Importance: High

All,

Attached please find the documents I've compiled for Christy's request. The only one missing is the 2016 Q1 GCF File Assessment because it hasn't been completed yet. Still waiting for the population and files from the Jax COB team.

Please let me know if there are any objections to sending any or all of these along to Christy for Corporate Finance.

I am going to work on Robyn's request for Global Markets next...thanks!

Kind regards,
Laura Kang



Laura Kang
Deutsche Bank Americas
Regulation, Compliance and Anti-Financial Crime
AFC AML Compliance Officer

60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

From: Christy Wolanski
Sent: Tuesday, July 26, 2016 4:55 PM
To: Tope Owoyemi
Cc: Laura Kang; Wayne Salit
Subject: KYC Corporate Finance [I]

Classification: **For internal use only**

Hi Tope,

I am covering KYC for Corporate Finance clients as part of the 2016 US AML audit and require the following documents:

- 1) Any KOPs pertaining to the Enhanced Due Diligence process for Corporate Finance clients.
- 2) Investigations log for the period January 1, 2015 through March 31, 2016 for Corporate Finance clients.
- 3) Any KOPs pertaining to quality assurance reviews performed over on-boarding of Corporate Finance clients (including QA checklist).
- 4) Results of AFC Quality Assurance review performed for Corporate Finance for Q4 2015 and Q1 2016.
- 5) A log of any conditional approvals granted for Corporate Finance clients for the period January 1, 2015 through March 31, 2016, if applicable.