

Regulation, Compliance and Anti-Financial Crime
AFC AML Compliance Officer

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

From: Elenita Escobar
Sent: Monday, July 18, 2016 5:19 PM
To: Laura Kang
Subject: FW: Q1 Sample for AFC Review [I]

Hi Laura,

We had to manually locate the information from our files and it took longer than expected.

Let me know if you have any questions.

Regards,

Elenita

From: Marybeth Nance
Sent: Wednesday, July 13, 2016 5:06 PM
To: Elenita Escobar
Cc: Nick Watkins; Lorie Pierce
Subject: Q1 Sample for AFC Review [I]

Classification: **For internal use only**

Hi Elenita,

Laura Kang in AFC has requested that we **add** the following details to our onboarding spreadsheets (attached), so that she may select a randomized sample of EDD cases:

- Risk Rating (low, medium, high)
- Date Approved
- Loan or Advisory

Please let me know if you have any questions.

Best,
Marybeth



Marybeth Nance
Associate, Operations Officer | Client Onboarding
Team Lead | Case Manager
Group Wide Client & Data Services | COO Global Markets Operations
Deutsche Bank Securities Inc.
5022 Gate Parkway, Suite 400, Jacksonville, FL, 32256
[REDACTED]
[REDACTED]