

Subject: RE: Cases for this Week - 6/21 [I]
From: Oliver Esslinger [redacted]
Date: Thu, 20 Jun 2019 13:52:20 -0400
To: Ellenoi Jarvis [redacted]
Jamaal Bushara [redacted]
Joseph Harleston [redacted]
Nina Tona [redacted]
Funda Bozkurt [redacted]
Cc: Padam Chainani [redacted]
Ana Hunter <ana.hunter@db.com> [redacted]
Ian Salters [redacted]
Paolo De-Leon [redacted]
Keith Buckholz [redacted]
Joseph Cothron <jcothron@db.com> [redacted]
Jennifer Hudson [redacted]

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Ellenoi/all:

I amended managed exit tab – see attached excel. Having said that and when looking up the maturity date from Paolo’s and Keith’s input – see screen shot – it looks to me that trade already matured (2month Swap only or typo?)

If so does it mean that we have no more active trades on the books for 1149 Gower?

If so, this client should be offboarded rather than moved to managed exit.

Can somebody please confirm (Paolo/Keith/Joe maybe)?

Counterparty Name

Coverage

Office Location

TRADE ID

Trade Description

Trade Date

Maturity Date

January

1149 Gower Street Hollywood LLC 

Dan Gray

LA


swap

01/29/19

03/31/19

Also adding Jen to carve out from upcoming mailing initiative.

Regards

Oliver

{cid:image001.gif@01D0ADA8 

Oliver Esslinger
Director | C00

Head of Business Integrity Americas

Deutsche Bank Wealth Management

Deutsche Bank Trust Company Americas

Postal address: 345 Park Avenue, 14th floor, New York, NY 10154, USA

[REDACTED]

[REDACTED]

From: Ellenoi Jarvis
Sent: Thursday, June 20, 2019 1:32 PM
To: Jamaal Bushara [REDACTED] Joseph Harleston
[REDACTED] Nina Tona [REDACTED]
Cc: Padam Chainani [REDACTED] Ana Hunter [REDACTED]
Ian Salters [REDACTED] Oliver Esslinger <[REDACTED]>
Subject: RE: Cases for this week - 6/21 [I]

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Hi,

Update to this week's cases for ISG.

Per ACO response to ADL outreach - [REDACTED] should be handled as Managed Exit. Please move from list below and update tracker status to Managed Exit and ADL status to N/A.

Sincerely,

Ellenoi Jarvis

[REDACTED]

Ellenoi Jarvis

Deutsche Bank Trust Company Americas
WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA

[REDACTED]

[REDACTED]

From: Nina Tona
Sent: Thursday, June 20, 2019 11:29 AM
To: Jamaal Bushara [REDACTED] Joseph Harleston
[REDACTED]
Cc: Parag [REDACTED] Ellenoi Jarvis
[REDACTED] Ana Hunter [REDACTED] Ian Salters
[REDACTED] Oliver Esslinger [REDACTED]
Subject: RE: Cases for this Week - 6/21 [I]

Classification: For internal use only

Hi Team,

Please see the updated list. Ellenoi added the 4 clients. Kindly review and advise what is required to remediate, please ensure Red Okas is worked on first.

Pending with COB

EFTA01398292

Client Name

KYC Type

Status

Action

COB Responsible

Due Date

134 West 58th Realty LLC

Remediation

COB

IT issue

Jamaal

06/19/2019


Remediation

COB

IT issue

Joe

6/14/2019

Dobson CC Limited Partnership

Remediation

COB

With G KYC Checker

Jamaal

6/21/2019

Red Oak Investment Fund

Remediation (High Priority)

COB

Provide remediation list

Jamaal

6/28/2019

Howard Lepow

Remediation

COB

Provide remediation list

Joe

6/28/2019

1149 Gower Street Hollywood LLC

Remediation

COB

Provide remediation list

Jamaal

6/28/2019


Remediation

COB

Provide remediation list

Joe

6/28/2019

Pending with Business

Client Name

KYC Type

Status

Dakota Pacific Global Macro Fund LLC

Extension

Client to provide clarification to AFC question

Staple Street Global

Extension

With business to obtain from client

Daniel and Suzzan Cohen

Remediation

Tax issue, MIFID opt-out

DA Brazil

NCA

With business to obtain from client

DA Venezuela

NCA

With business to obtain from client

Ultralat Capital Markets

Refresh

With business to obtain from client

Anschutz Investment Company

Extension

With business to provide required info

Fox Growth Fund Inc

NCA

Pending with business

Niscaly

NCA

Pending with business

Black Maple Capital Partners

NCA

With business to obtain from client

The Lamia Ventures Corporation

Remediation

With business to obtain from client. Client on vacation

Blue Media Investments

Remediation

With business to provide list of requirements

Vanguardia Inversiones SA

Remediation

Pending with business

Thank you



Nina Tona Brunelli

Deutsche Bank Wealth Management

Institutional Wealth Partners – Business Manager Americas

Deutsche Bank (Americas) Ltd.

5022 Gate Parkway, Jacksonville FL 32256



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From: Nina Tona
Sent: Monday, June 17, 2019 11:06 AM
To: Jamaal Bushara [REDACTED] Joseph Harleston
[REDACTED]
Cc: Padam Chainani [REDACTED] Ellenoi Jarvis
[REDACTED] Ana Hunter [REDACTED] Ian Salters
[REDACTED] Oliver Esslinger [REDACTED]
Subject: RE: Cases for this Week - Updated List [I]

Classification: For internal use only

Good Morning Team,

Please see the below list for this week. Might add more after discussions with business or hope to move some from with business to COB.

Pending with COB

Client Name

KYC Type

Status

Action

COB Responsible

Due Date

Vanguardia Inversiones SA

Remediation

COB

Need to send to verification

Jamaal

6/19/2019

134 West 58th Realty LLC

Remediation

COB

Jamaal Advise what else is required

Jamaal

06/19/2019

Ultralat Capital Markets

Refresh

COB

Waiting on IBOs to be build. The work on GKYS

Joe

6/21/2019

125 Washington

Remediation

COB

IT issue

Joe

6/14/2019

Colina Insurance

Remediation

COB

Dobson CC Limited Partnership

Remediation

COB

List of requirements

Jamaal

6/21/2019

Pending with Business

Client Name

KYC Type

Status

Dakota Pacific Global Macro Fund LLC

Extension

Client to provide clarification to AFC question

Staple Street Global

Extension

With business to obtain from client

Daniel and Suzzan Cohen

Remediation

Tax issue, MIFID opt-out

DA Brazil

NCA

With business to obtain from client

DA Venezuela

NCA

With business to obtain from client

Ultralat Capital Markets

Refresh

With business to obtain from client

Anschutz Investment Company

Extension

With business to provide required info

Fox Growth Fund Inc

NCA

Pending with business

Niscaly

NCA

Pending with business

Black Maple Capital Partners

NCA

With business to obtain from client

The Lamia Ventures Corporation

Remediation

With business to obtain from client. Client on vacation

Blue Media Investments

Remediation

With business to provide list of requirements

Thank you



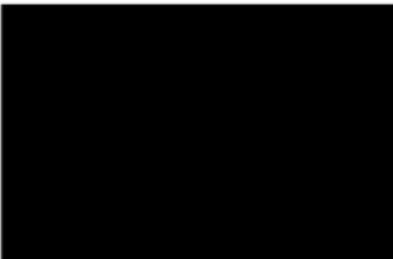
Nina Tona Brunelli

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From: Nina Tona
Sent: Tuesday, June 11, 2019 12:03 PM
To: Jamaal Bushara [redacted] Joseph Harleston
[redacted]
Cc: Padam Nathani [redacted] Ellenoi Jarvis
[redacted] Ana Hunter [redacted] Ian Salters
[redacted] Oliver Esslinger [redacted]
Subject: RE: Cases for this Week - Updated List [1]

Classification: For internal use only

Hi Team,

Please see the updated list.

Pending with COB

Client Name

KYC Type

Status

Action

COB Responsible

Due Date

George Kaiser Family Foundation

Remediation

Pending with AFC (UK and US)

Jamaal reach out to UK AFC Ricky to clarify
Nina to follow up with US AFC

Jamaal

06/12/2019

134 West 58th Realty LLC

Remediation

COB

Jamaal Advise what else is required

Jamaal

06/12/2019

30 West 72nd Street (NEW)

Remediation

COB

Provided list of pending items

Joe

6/14/2019

125 Washington

Remediation

COB

Pending with verification

Joe

6/14/2019

237 Wasseman

Remediation

COB

Pending with verification

Joe

6/14/2019

78-79 Wasseman

Remediation

COB

Pending GKYC approval, then to be sent for LKYC

Joe

6/14/2019

Daniel and Suzzane Cohen

Remediation

COB

Pending verification and Tax form from business

Jamaal

6/14/2019

Pending with Business

Client Name

KYC Type

Status

Vanguardia Inversiones SA

Remediation

Pending with business to provide pending items

Dakota Pacific Global Macro Fund LLC

Extension

Client to provide clarification to AFC question

Staple Street Global

Extension

With business to obtain from client

DA Brazil

NCA

With business to obtain from client

DA Venezuela

NCA

With business to obtain from client

Ultralat Capital Markets

Refresh

With business to obtain from client

Anschutz Investment Company

Extension

With business to provide required info

Fox Growth Fund Inc

NCA

Pending with business

Niscaly

NCA

Pending with business

Black Maple Capital Partners

NCA

With business to obtain from client

The Lamia Ventures Corporation

Remediation

With business to obtain from client

Blue Media Investments

Remediation

With business to advise next step

Thank you



Nina Tona Brunelli

Deutsche Bank Wealth Management

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From: Nina Tona
Sent: Monday, June 10, 2019 3:38 PM
To: Jamaal Buehara [REDACTED] Joseph Harleston
[REDACTED]
Cc: Padam Chainani [REDACTED] Ellenoi Jarvis
[REDACTED] Ana Hunter [REDACTED] Ian Salters
[REDACTED] Oliver Esslinger [REDACTED]
Subject: Cases for this Week [I]

Classification: For internal use only

Hi Joe and Jamaal,

Please see the below list to be worked on for this week. If any of the ones who are pending with business come back, please stop working on the new ones which were added this week.

Pending with COB

Client Name

KYC Type

Status

Action

COB Responsible

Due Date

George Kaiser Family Foundation

Remediation

Pending with AFC (UK and US)

Jamaal reach out to UK AFC Ricky to clarify
Nina to follow up with US AFC

Jamaal

06/12/2019

134 West 58th Realty LLC

Remediation

COB

Jamaal Advise what else is required

Jamaal

06/12/2019

Blue Media Investments (NEW)

Remediation

COB

Provide list of requirements

Jamaal

6/14/2019

30 West 72nd Street (NEW)

Remediation

COB

Provided list of pending items

Joe

6/14/2019

MPT FUNDS SPC LTD  (NEW)

Remediation

COB

Provide list of requirements

Joe

6/14/2019

Pending with Business

Client Name

KYC Type

Status

Vanguardia Inversiones SA

Remediation

Pending with business to provide pending items

Dakota Pacific Global Macro Fund LLC

Extension

Client to provide clarification to AFC question

Staple Street Global

Extension

With business to obtain from client

DA Brazil

NCA

With business to obtain from client

DA Venezuela

NCA

With business to obtain from client

Ultralat Capital Markets

Refresh

With business to obtain from client

Anschutz Investment Company

Extension

With business to provide required info

Fox Growth Fund Inc

NCA

Pending with business

Niscaly

NCA

Pending with business

Black Maple Capital Partners

NCA

With business to obtain from client

The Lamia Ventures Corporation

Remediation

With business to obtain from client

Kind regards,



Nina Tona Brunelli

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