

Subject: RUSH KYC approval [I]
From: Jj Litchford <[REDACTED]>
Date: Mon, 05 Oct 2015 13:40:36 -0400
To: Kimberly Hart <[REDACTED]>,
Andrew Gallivan <[REDACTED]>

Classification: For internal use only

Hi Kim and/or Andrew--

We have a rush KYC (01469735) in for an account (George Lindemann Family LP) we need re-opened ASAP (it was auto-closed by B0).

The KYC is almost exactly the same as the last time. Can one of you push it through for me? They are expecting it.

Thanks,

JJ

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JJ Litchford
Associate Banker

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From: Vaishali-P Mehta
Sent: Monday, October 05, 2015 1:36 PM
To: Jj Litchford; PWMUS AMLKYC
Cc: Armen Brash
Subject: RE: CLEARED: PCR Alert - Jeffrey Epstein [I]

Classification: For internal use only

Thanks Jj

I will forward it to compliance as soon as it hits my queue – currently with Office Director

Regards,

Vaishali Mehta

AVP Anti-Money Laundering Business Risk
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From: Jj Litchford
Sent: Monday, October 05, 2015 1:19 PM
To: PWMUS AMLKYC
Cc: Armen Brash; Vaishali-P Mehta
Subject: RE: CLEARED: PCR Alert - Jeffrey Epstein [I]

Classification: For internal use only

Thank you!

Vaishali–this has been submitted.

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From: Renee Salhi On Behalf Of PWMUS AMLKYC
Sent: Monday, October 05, 2015 1:13 PM
To: Jj Litchford; PWMUS AMLKYC
Cc: Armen Brash; Vaishali-P Mehta
Subject: CLEARED: PCR Alert - Jeffrey Epstein [I]

Classification: For internal use only

Hello Jj,

AML Compliance has reviewed the PCR alert generated for Jeffrey Epstein, UBO and Signatory on the accounts of Mort, Inc. Mr. Epstein is an existing client of the Private Bank.

· The subject of the alert is Jeffrey S. Epstein who resides in Farmingham, Massachusetts, United States.

. Our client is Jeffrey E. Epstein who resides in St. Thomas, U.S. Virgin Islands and has no address history in Massachusetts according to LexisNexis.

AML Compliance clears this alert from an AML perspective as the location and middle initial of the client does not match that of the alert subject.

Kind regards,

Renée Salhi

{cid:1__=0ABBF490DFF5ECF48f9e8a93df9386909@db.com}

Renée Salhi
Associate | AML Compliance Officer

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{cid:2__=0ABBF490DFF5ECF48f9e8a93df9386909@db.com}

From: Jj Litchford
Sent: Monday, October 05, 2015 10:24 AM
To: PWMUS AMLKYC
Cc: Armen Brash; Vaishali-P Mehta
Subject: FW: PCR Alert - Jeffrey Epstein [I]
Importance: High

Classification: For internal use only

Hi AML--

This is a rush request. We need to reopen an account that was auto-closed today and are waiting on the KYC.

Please clear the following PCR alert on Jeffrey Epstein (KYC 01469735). This alert is for Jeffrey S. Epstein, our client is Jeffrey Edward Epstein, so this is a false positive. Passport and alert attached.

Thanks,

JJ

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From: Akshay Davera
Sent: Monday, October 05, 2015 10:14 AM
To: Jj Litchford
Cc: PWM BIS-Research; PWMUS AMLKYC
Subject: PCR Alert - Jeffrey Epstein [I]

Classification: For internal use only

Hello

Attached is the alerts for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue.

Include copies of all responses along with your KYC.

Thanks

Kind regards,

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Akshay Davera

Operations Analyst | Transaction Approval Group | Business Information Search

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