

Subject: Update on KYC HR 2018

From: Thomas Klemm <[REDACTED]>

Date: Mon, 05 Nov 2018 09:42:03 -0500

To: Patrick Campion <[REDACTED]>,
Susanne Sipek <[REDACTED]>,
Michael S Jacoby <[REDACTED]>,
Andrew Gallivan <[REDACTED]>,
Steven Mattus <[REDACTED]>,
Thomas Clarke <[REDACTED]>,
Daniel-E Kaiser <[REDACTED]>,
Dana Ponzio <[REDACTED]>,
Claudinea Federovsky <[REDACTED]>,
Ana-M Guzman <[REDACTED]>,
Ailsa Briede <[REDACTED]>,
Mamie Holland <[REDACTED]>,
Mariacriselda Loleng <[REDACTED]>,
Lisa Latino <[REDACTED]>,
Joyce Tsoi <[REDACTED]>,
Felipe Godard <[REDACTED]>,
Donna Kerrigan <[REDACTED]>,
Charlie Burrows <[REDACTED]>,
Ashok Eastman <[REDACTED]>,
George Crosby <[REDACTED]>

All,

I will be sending the below standard emails to all bankers and copy you for your bankers where clients have either not reacted or bankers could not commit a date by when client information would be available. Cut off date is as communicated the 15 Nov. After that the exit letters will go out (draft attached).

Entire list for transparency below.

Standard email

Dear XXX,

First, let me thank you for your ongoing efforts to address our HR KYC challenge. Demonstrating our ability to protect the franchise and bring the Americas in line with all other WM regions is pivotal for our growth strategy. For the first time we have a line of sight to closing the year at zero HR overdues. Let me add that it requires AFC approval to count a HR file as completed.

For the following clients of yours, the project team has been informed that the client will either not provide the relevant information by 15 November or did not commit to a due date. Given that the bank would not be in a position to continue business with those clients unless the KYC gets completed, those clients will receive an exit letter after 15 Nov (DBTCA draft attached).

If the missing information will be provided in time, those names will of course be removed from the list. Otherwise a letter must be send.

Please reach out to Emily Craig or Daphne Cales if information has / will be received and the file we be handed over to AFC in time. Please feel also free to contact me if need be.

Kind regards,
Thomas

Thanks,
T

Reynaldo Figueredo
Alfa Sca
Risper S.A.
Nirvana Capital International Limited
ASA18J Inc.
TAMAYO, CARLOS ENRIQUE
Dinastia Sca
Lotos Limited
Fjc Sca
Nuevo Mundo Sca
Forum Capital Pte Ltd
Roslyn Property Holdings LLC
Frendall S.A.
Tamayo, Ricardo
High Grove Capital Management Ltd
Los Chicos Sca
Mauricio Pretelt
Pan-am Investments
GOL T.V.
The Family Nekane Trust

Moreno Echavarria, Alfonso
Casal Fernandez, Francisco
Temple Investments Limited
Conor Holdings Limited
Aeropost S.A.

Inigo Momene Cardenal
Solu Americas Inc.
ROSANNA GARCIA MARTINEZ
ST. PETESBURG TRADING INC.
Diaz M de Troncoso, Astrid Elizabeth
ROSANNA MARTINEZ DE ABRAHAM
Global Seafood Capital Inc.

SRE Capital LP
Lawson Hills Limited
ABCINQ LTD
POTOMAC DEVELOPMENT INC
Carlos Luna
Tanama C.V.
Remate (USA) INC
Moreno, Joaquin
Darina C.V.
Remate Lince SAPI de CV
Douna C.V.
CRETACEUS INVESTMENT LIMITED
Ickenham Properties C.V.
Deirdre Judge
A-Grade Holdings, LLC
Yucaipa Hospitality Investments, LLC
Sunset and Doheny Property, LLC
A-Grade Management, LLC
Yucaipa U.S. Hospitality Partners Holdings, Inc.
Antelope Insurance Company, Inc.

Lee Hutter
Bridgeton 396 Broadway Investment Corp.

Bridgeton Museum Parc, LLC
Bridgeton 396 Broadway Property, LLC
Kips Bay Property Corp.
Bridgeton Museum Parc Investment Corp.
Bridgeton Museum Parc Property, LLC
Mark Westhoff
Samstock/ZFT LLC
EGI-CW Holdings LLC
SZ Investments LLC
Samstock LLC
Samstock/SIT, LLC
Malcolm Kimble
Fertitta Entertainment, Inc.
GNLC Holdings, Inc.
Fertitta, Tilman
Joanne Jensen
Do it Again, LLC.
NEW DIMENSIONS TRADING LTD
HORIZONS CAYMAN TRADING LTD
Shahin Ahdieh
Dahlia ARR LLC
Dawn Mist LLC
Dahlia ARR Trust FBO Aziz Rahman Rasul
Gabriel Micheletti
LAIF Management (GP-GP) Ltd.
Capex S.A.
Pascal Landrove

Cronus Limited
Stewart Oldfield
Gratitude America Ltd
Sven-Otto Westphalen
Defrak Integrated Services S.A. de C.V.
Josie Alonso
Besco Holdings Ltd
Dessy Arteaga
IEGT LTD

-----Original Appointment-----

From: Patrick Champion
Sent: Dienstag, 10. Juli 2018 10:28
To: Patrick Champion; Thomas Klemm; Susanne Sipek; Lee Hutter; Michael S Jacoby; Andrew Gallivan; Steven Mattus; Thomas Clarke; Daniel-E Kaiser; Sheffali Welch; Dana Ponzio; Claudinea Federovsky; Ana-M Guzman; Ailsa Briede; Mamie Holland; Mariacriselda Loleng; Lisa Latino; Joyce Tsoi; Felipe Godard; Donna Kerrigan; Charlie Burrows; Ashok Eastman
Subject: 16 EST - Weekly Senior Team Catch-up [I]
When: Montag, 5. November 2018 16:00-16:45 (UTC-05:00) Eastern Time (US & Canada).
Where: CR 2405 in NY / Dial-in Attached

Classification: For internal use only

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Patrick Champion's Virtual Meeting Room Details

United States +1 973 631 2000 / +1 201 593 3794
Virtual Meeting Room number: 880884540438

Host Pin: 757893
Participant PIN: 499589

Internal Phone and VC Devices
Virtual Meeting Room number: 880884540438

Desktop Video or External Video

Virtual Meeting Room address: [REDACTED]
<mailto:[REDACTED]>
<mailto:[REDACTED]>

External Audio Participants:
Choose country location below for dial in
Then enter number 880884540438

Major Hubs:
Australia +61 39 270 4173

China	+86 21 2080 2601
Germany	+49 69 9104 8927
Hong Kong	+85 22 203 7642
India	(In progress; delayed due to
regulatory reasons)	
Singapore	+65 6423 8443
United Kingdom	+44 20 7541 0599
United States	+1 973 631 2000 / +1 201 593 3794

Rest of the world:

Austria:	+43 15 1866 1138
Belgium	+32 324 459 02
Canada	+1 416 682 8029
Cayman Islands	+1 345 914 5619
Channel Islands	+44 15 3488 9059
France	+33 1 44 95 59 85
Hungary	+36 1301 3733
Indonesia	+62 21 296 44012
Ireland	+35 31 865 3753
Israel	+972 3 710 2061
Italy	+39 02 4024 4995
Japan	+813 515 65112
Malaysia	+60 3205 36760
Mauritius	+230 402 0398
Mexico	+52 55 5201 8564
Netherlands	+31 20 5554 260
New Zealand	+64 9 351 1673
Philippines	+63 2 777 0597
Poland	+48 22 526 8726
Portugal	+351 2 1311 1370
Romania	+40 31 222 4248
Russian Federation	+7 495 933 9000
Saudi Arabia	+966 11 273 9625
South Africa	+27 11 775 7072
South Korea	+82 2 316 2013
Spain	+34 933 672 857
Sweden	+46 8 463 5578
Taiwan	+886 2 2192 4654
Thailand	+66 2 646 5164
United Arab Emirates	+971 4 361 1793
Vietnam	+84 8 6299 8804