

From: Kimberly Hart
Sent: Monday, October 15, 2018 10:13 AM
To: Oliver Esslinger <[REDACTED]>
Cc: zia Memon <[REDACTED]>; Jonathan Groom <[REDACTED]>;
Emily Craig <[REDACTED]>; Melisa Venegas <[REDACTED]>
Subject: Re: FIM Relationships and FIMs - KYC Tracker [I]

I was not aware that you were looking for feedback. There are customer owners assigned to the FIMs in DBForce. They would be responsible for the KYCs. If these are active FIMs, KYCs need to be completed as soon as possible. Additionally, the high risk FIM needs a KYC update as well.

Finally, I am still not confident that the list is complete. Are we moving forward with reaching out to the Bankers to get confirmations?

Kimberly Hart
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On Oct 15, 2018, at 9:18 AM, Oliver Esslinger <[REDACTED]>
wrote:

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Hi Kim/Zia/Jonathan:

Does either one of you have a chance to opine on this, if possible sometime today?

Thank you

Oliver

<image001.gif>

Oliver Esslinger
Director | COO

Head of Business Integrity Americas

Deutsche Bank Wealth Management

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From: Melisa Venegas
Sent: Friday, October 12, 2018 9:48 AM
To: Jonathan Groom <[REDACTED]>
Cc: zia Memon <[REDACTED]>; Derek St-Hilaire <[REDACTED]>; Emily Craig <[REDACTED]>; Oliver Esslinger <[REDACTED]>; Kimberly Hart <[REDACTED]>
Subject: RE: FIM Relationships and FIMs - KYC Tracker [I]

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EFTA01399058

Good morning Jonathan,

I wanted to confirm that the FIM you sent earlier are now on the tracker for remediation. There are several (in red below) that do not have a KYC in file, can you please confirm who will work on this initial KYC?

FIM Name

GCIS Number

Risk

Last Approved KYC

Noyes LLC

518190

Moderate

9/16/2015

True Capital Management

478356

Low

5/14/2013

BP Finance

508565

High

7/17/2015

Matter Family Office (Deutsche Bank Cayman Ltd)

577095

Low

None

WE Family Offices

490175

Low

None

AON Insurance Managers (Cayman) Ltd

508954

Low

None

Global Captive Management

508716

Low

None

Partners Capital S.A. (formerly Drizay Corporation S.A.)

508401

Moderate

5/10/2016

Legg Mason (1919 Investment Council LLC)

422798

Low

KYC in progress (#01916145)

Hamlin Capital Management, LLC

438956

Moderate

7/12/2017

Hirtle Callaghan & Co

423293

Moderate

7/17/2017

South Street Advisors LLC

212002

Low

7/21/2017

Windsor Advisory Group LLC

409946

Low

11/7/2013

Kerr Financial Group

457420

Low

None

Seamans, Richard F.

384606

Low

7/28/2009

Wright Investors Service

458724

Low

12/22/2012

Chilton Trust Company

524177

Low

None

Algonquin Advisors LLC

469712

Low

None

Thank you

<image002.jpg>

Melisa Venegas

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From: Jonathan Groom

Sent: Thursday, October 04, 2018 4:02 PM

To: Melisa Venegas <[REDACTED]>

Cc: zia Memon <[REDACTED]>; Derek St-Hilaire <[REDACTED]>

Subject: FIM Relationships and FIMs - KYC Tracker [I]

Classification: For internal use only

Hi Melisa,

Will you please review the revised FIM Register and verify that these names are listed on the KYC tracker? I carried over the info from your previous check, but we've added several new FIMs to the register. They are also prospects in dbForce, so it's doubtful they are on the tracker. If they are not listed, will you please add them?

Please let me know if you have any questions.

Thanks,

Kind regards,
Jonathan Groom

<image003.gif>

Jonathan Groom

EFTA01399063

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