

Subject: RE: October 2014 AML/KYC Escalation Reports [I]
From: Andrea Tapia <[REDACTED]>
Date: Thu, 06 Nov 2014 17:28:40 -0500
To: Melisa Venegas <[REDACTED]>
Cc: Kimberly Hart <[REDACTED]>, Armen Brash <[REDACTED]>

Classification: For internal use only

Hi Melissa,

In the attached file, please find the list of ACUs that should be taken off the list. Most of these customer's accounts have been closed, two are Brokerage only, two should be transferred to IA, and one has an existing KYC. We are working with the respective Banker teams to resolve the remaining ACU's not included. Please see the corresponding notes in column N and let me know if you have any questions.

Kind regards,

Andrea Tapia

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Andrea Tapia
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Securities offered through Deutsche Bank Securities Inc.

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From: Kimberly Hart
Sent: Wednesday, November 05, 2014 11:35 AM
To: Andrea Tapia
Subject: Fw: October 2014 AML/KYC Escalation Reports [I]

Classification: For internal use only

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----- Forwarded by Kimberly Hart/db/dbcom on 11/05/2014 11:35 AM -----

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From:

{cid:image004.png@01CFF9E7.19F8EFA0}
Melisa Venegas/db/dbcom

{cid:image003.png@01CFF9E7.19F8EFA0}

To:

{cid:image004.png@01CFF9E7.19F8EFA0}

Andrew Gallivan/db/[REDACTED], Kimberly Hart/db/[REDACTED]
Michael-J Davis/db/[REDACTED], Michael S Jacoby/[REDACTED]

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Cc:

{cid:image004.png@01CFF9E7.19F8EFA0}
Armen Brash/db/[REDACTED]

{cid:image003.png@01CFF9E7.19F8EFA0}

Date:

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11/03/2014 05:30 PM

{cid:image003.png@01CFF9E7.19F8EFA0}

Subject:

{cid:image004.png@01CFF9E7.19F8EFA0}
October 2014 AML/KYC Escalation Reports [I]

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All,

Included below is the monthly AML/KYC escalation report for overdue items (the file has several sheets). Please review and address accordingly. Thank you.

(See attached file: COVERAGE_Domestic.xlsx)(See attached file: Account Opening - COVERAGE-Domestic.xlsx)

Regards,

{cid:image001.gif@01CFF9E7.19F8EFA0}

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