

Subject: Re: Past due KYC temporary exception [I]
From: Kimberly Hart <[REDACTED]>
Date: Tue, 03 Dec 2013 16:49:15 -0500
To: Amanda Kirby <[REDACTED]>

Classification: For internal use only

You should speak to the KYC team to figure out what they would accept in lieu of an operating agreement.

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Kimberly Hart
Managing Director

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Private Wealth Management
345 Park Avenue, 27th Floor
New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
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| Amanda Kirby/db/dbcom
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To: |
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| Kimberly Hart/db/dbcom@DBAmericas,
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| Re: Past due KYC temporary exception [I]
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Sorry this slipped my mind. I spoke with the client and they are almost positive they do not have the Operating Agreement but is double checking and will confirm in the am. We have the Articles of Organization and a letter stating that it is a single member LLC and that he is the sole owner. Is

there someone I can speak to to ask for a permanent exception if in fact he cannot find the Operating Agreement?

Best,
Amanda Kirby

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Amanda Kirby
Associate

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Email [REDACTED]

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| Kimberly Hart/db/dbcom |
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| To: |
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| Amanda Kirby/db/dbcom@DBAMERICAS, |
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| Date: |
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| 12/02/2013 07:28 PM |
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| Subject: |
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| Past due KYC temporary exception [I] |
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Can you please provide an update regarding the past due temporary exception associated with KYC 01133377 in the name of Darren Indyke? This is past due and will appear on the monthly report if not addressed immediately.

Thanks,
Kim

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Kimberly Hart

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