

Subject: RE: February 2015 AML/KYC Escalation Reports [I]
From: Andrea Tapia <[REDACTED]>
Date: Tue, 17 Mar 2015 17:48:23 -0400
To: Kimberly Hart <[REDACTED]>

Classification: For internal use only

Hi Kim,

In the attached file, please find my comments re: updates in column N. The three private equity accounts for McCarthy's client, Craig Haesemeyer, are highlighted in red.

Kind regards,
Andrea Tapia

Andrea Tapia
Vice President

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 24th Floor
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Securities offered through Deutsche Bank Securities Inc.

From: Kimberly Hart
Sent: Tuesday, March 17, 2015 9:15 AM
To: Andrea Tapia
Subject: FW: February 2015 AML/KYC Escalation Reports [I]

Classification: For internal use only

<< OLE Object: Picture (Device Independent Bitmap) >>

Kimberly Hart
Managing Director

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Securities offered through Deutsche Bank Securities Inc.

From: Melisa Venegas
Sent: Monday, March 02, 2015 4:36 PM
To: Andrew Gallivan; Kimberly Hart; Michael-J Davis; Michael S Jacoby
Cc: Armen Brash
Subject: February 2015 AML/KYC Escalation Reports [I]

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All,

Included below is the monthly AML/KYC escalation report for overdue and coming due items. Please review and address accordingly. Thank you.

Regards,

<< File: COVERAGE_Domestic.xlsx >> << File: Acct Opening - COVERAGE.xlsx >>

<< OLE Object: Picture (Device Independent Bitmap) >>

Melisa Venegas
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