

Subject: FW: October 2014 AML/KYC Escalation Reports [I]
From: Kimberly Hart <[REDACTED]>
Date: Wed, 03 Dec 2014 13:56:27 -0500
To: Melisa Venegas <[REDACTED]>
Cc: Armen Brash <[REDACTED]>

Classification: For internal use only

The updates that Andrea sent to you do not seem to be reflected on the recent report that you just sent out. Is there a reason that the items were not removed? Do you require additional information?

{cid:image006.png@01D00F00.ED6C0380}

Kimberly Hart
Managing Director

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345 Park Avenue, New York, NY 10154
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Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{cid:image008.png@01D00F00.ED6C0380}

Securities offered through Deutsche Bank Securities Inc.

From: Andrea Tapia
Sent: Thursday, November 06, 2014 5:29 PM
To: Melisa Venegas
Cc: Kimberly Hart; Armen Brash
Subject: RE: October 2014 AML/KYC Escalation Reports [I]

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
Assistant 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.

{cid:image002.gif@01CE271E.01610240}

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

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

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{cid:image002.gif@01CFF9E7.19F8EFA0}

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

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

From:

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

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

To:

{cid:image004.png@01CFF9E7.19F8EFA0}
Andrew Gallivan/db/dbcom@DBAMERICAS, Kimberly Hart/db/dbcom@DBAMERICAS,
Michael-J Davis/db/dbcom@DBAMERICAS, Michael S Jacoby/db/dbcom@DBAMERICAS,

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

Cc:

{cid:image004.png@01CFF9E7.19F8EFA0}
Armen Brash/db/dbcom@DBAMERICAS

EFTA01399578

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

Date:

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

Melisa Venegas

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