

Subject: RDC ALERT - Richard Kahn and PCR ALERT - Darren Indyke
From: Cynthia Rodriguez <[REDACTED]>
Date: Wed, 12 Oct 2016 12:07:38 -0400
To: PWMUS AMLKYC <[REDACTED]>

Dear AML Compliance,

Attached are RDC alerts for Darren Indyke and Richard Kahn who have been previously KYC approved and are part of KYC Update case 01651789. The alerts reference the following:

- Richard Kahn, of New York, appears on NY Stock Exchange Disciplinary Actions.
- Richard Jeffrey Kahn, of Florida, appears on Florida Office of Financial Regulation list of Final Orders.
- Richard Leroy Kann aka RICHARD L KAHN, DOB: 8/14/1961, of GOLDEN, Colorado, appears on the list of Colorado - Sex Offenders
- Richard L. Kahn, 1962, of Havana, Illinois, was wanted on a charge of calculated criminal drug conspiracy.
- Darren Indyke has a PCR alert, but the alerts don't reference anything specific.

Please clear these alerts for the following reasons:

- These alerts are false positives as the Richard Kahn that is previously KYC approved has a date of birth of [REDACTED] and resides at [REDACTED]. He is an attorney at HBRK Associates in New York.
- Darren Indyke is previously KYC approved has a date of birth of [REDACTED] and resides at [REDACTED]. He is currently employed at Southern Financial LLC.

Kind regards,

Cynthia Rodriguez

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