

Subject: RE: Account Re-opening [I]  
From: Armen Brash <[REDACTED]>  
Date: Thu, 01 Oct 2015 17:43:46 -0400  
To: Jj Litchford <[REDACTED]>, Vaishali-P Mehta <[REDACTED]>  
Cc: PWMUS AMLKYC <[REDACTED]>

Classification: For internal use only

No Problem at all. Please keep AML Compliance posted.

Best,  
Armen

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Armen Brash

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Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA  
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From: Jj Litchford  
Sent: Thursday, October 01, 2015 5:42 PM  
To: Armen Brash; Vaishali-P Mehta  
Cc: PWMUS AMLKYC  
Subject: RE: Account Re-opening [I]

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The account was closed due to zero balance (it was funded on 2/6/2015 and then de-funded on 2/23/2015).

I have submitted for the research since the last KYC (2/1/2014) and put it in with high priority. I will let you know as soon as we get results (We expect some negative media possibly).

thanks for the help, appreciate the quick reply.

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JJ Litchford  
Associate Banker

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From: Armen Brash  
Sent: Thursday, October 01, 2015 5:39 PM  
To: Jj Litchford; Vaishali-P Mehta  
Cc: PWMUS AMLKYC  
Subject: RE: Account Re-opening [I]

Classification: For internal use only

JJ

You'll need to order updated research and complete a KYC update.  
Essentially, you have to treat it the way you'd treat a brand new client.

Why did the account close? Was it ever funded? Was it closed due to zero balance?

Please note that this is a high risk client and the KYC will need to be reviewed by AML Compliance; I've cc'd them so they are aware of the rush.

Best,  
Armen

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From: Jj Litchford  
Sent: Thursday, October 01, 2015 5:30 PM  
To: Vaishali-P Mehta; Armen Brash  
Subject: FW: Account Re-opening [I]

Classification: For internal use only

Hello my favorites--

Can you let me know what I need to do to re KYC this entity for which an account was auto-closed (information below)? This is going to be a high rush situation, the client is absolutely furious.

Thanks,

JJ

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From: Navin-Kumar Pankaj  
Sent: Thursday, October 01, 2015 5:22 PM  
To: Jj Litchford  
Cc: Gwen Hill; [REDACTED]; Prashant Mahendru  
Subject: RE: Account Re-opening [I]

Hi Jj,

Since customer "Mort, Inc." is a prospect hence, we require KYC# within one year to approve this re-open request.

KYC #01195147 is more than one year old.

Kind regards,

Navin Kumar Pankaj

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Please send all the PWM AOG- COB mail related Queires to our new Group E-mail ID

[pwmaog@list.db.com](mailto:pwmaog@list.db.com)

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Navin Kumar Pankaj

Analyst PWM US Operations

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Mobile + [REDACTED]

Email [REDACTED]

From: Jj Litchford  
Sent: Friday, October 02, 2015 2:18 AM  
To: [REDACTED]  
Subject: Account Re-opening [I]

Classification: For internal use only

Hi--

Please re-open account [REDACTED] (Mort, Inc.). The client is looking to transfer money into the account (per the attached instruction). It was closed on 5/26/2015 and still appears on FIS Metavante. The client did not send a letter to close, and the account was recently opened on 2/6/2015. The KYC is still valid.

Thanks,

JJ

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