

Subject: Re: Mort, Inc. Update KYC [I]
From: Jj Litchford <[REDACTED]>
Date: Fri, 02 Oct 2015 10:12:25 -0400
To: Janice Franklin <[REDACTED]>
Cc: Yoonsun Chung <[REDACTED]>, Armen Brash <[REDACTED]>, Vaishali-P Mehta <[REDACTED]>

Thanks Janice!

On Oct 2, 2015, at 10:11 AM, Janice Franklin <[REDACTED]> wrote:

> Classification: For internal use only

Hi JJ:

Your request for a Temporary Exception to our AML Policy for a Certificate of Good Standing has been granted. The Temporary Exception was granted based on my conversation with the US Virgin Islands' Division of Corporations and Trademarks which serves as the registry for all corporate filings in the Virgin Islands. The Division of Corporations and Trademarks verbally confirmed that Mort, Inc. is active (however they were unable to verbally state whether the company was in good standing because they did not audit the company's file).

This Temporary Exception will expire on October 16, 2015.

Regards,
Janice P. Franklin

<image001.png>

Janice Franklin, CAMS, CFSA, CFIRS
Vice President | AML Compliance Officer

Deutsche Bank Trust Company Americas
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Tel. [REDACTED]
Fax [REDACTED]

Email [REDACTED]

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From: Jj Litchford
Sent: Thursday, October 01, 2015 7:27 PM
To: Janice Franklin; Yoonsun Chung
Cc: Vaishali-P Mehta; Armen Brash
Subject: Mort, Inc. Update KYC [I]
Importance: High

Classification: For internal use only

Hi Janice and Yoonsun--

We have a client who has 20+ accounts spread across various entities. They have a closing tomorrow that needs to receive payment from Mort, Inc. a/c [REDACTED]. We found out this afternoon the account was auto-closed because it has had a zero balance since 2/26/2015. The client claims they were never informed of the closing and is absolutely livid.

In order to re-activate, I need a new KYC ([REDACTED]). I have almost everything, but still need research and an updated Certificate of Good Standing. The last is from October 2013. I thus far have not been able to find an online website for the US Virgin Islands where Mort, Inc. is incorporated that would provide a screenshot like we can do for Delaware for example.

Is this a situation where we might be able to get a one week exception so we can reactivate the account and get the deal done tomorrow (especially if all we are missing is a certificate of good standing)? This is extremely high priority for the banker, Paul Morris and the relationship is worth ~200MM+.

Thanks for your consideration, I have a Doctor's appointment in the morning but am on my cell (below) if you wish to discuss further.

Thanks,
JJ

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JJ Litchford
Associate Banker

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