

Subject: RE: Account Re-opening [I]
From: Armen Brash <armen.brash@db.com>
Date: Thu, 01 Oct 2015 19:06:07 -0400
To: Jj Litchford <jj.litchford@db.com>,
Vaishali-P Mehta <vaishali-p.mehta@db.com>

Classification: For internal use only

Yeah, I searched that but I think that's for licensed entities and this I assume is a personal holding company which likely doesn't need a license.

Best,
Armen

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Armen Brash

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From: Jj Litchford
Sent: Thursday, October 01, 2015 7:04 PM
To: Armen Brash; Vaishali-P Mehta
Subject: RE: Account Re-opening [I]

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Yeah I found https://secure.dlca.vi.gov/license/Asps/Search/-License_search.aspx but it doesn't come up with anything.

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JJ Litchford
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From: Armen Brash
Sent: Thursday, October 01, 2015 7:03 PM
To: Jj Litchford; Vaishali-P Mehta
Subject: RE: Account Re-opening [I]

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Hello

You'll need to ask AML Compliance; Generally, a printout from the Company's Registrar or Secretary of State is acceptable. I'm not how to get that for USVI <http://ltg.gov.vi/corporations-and-trademarks.html> didn't have an option to search

For this KYC, you would need a certificate of good standing dated within 1 year.

Best,
Armen

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From: Jj Litchford
Sent: Thursday, October 01, 2015 6:53 PM
To: Armen Brash; Vaishali-P Mehta
Subject: RE: Account Re-opening [I]

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I believe I have everything set up (KYC 01469735)... I am waiting on the research and will forward immediately if we get an RDC or PCR.

I do not have a certificate of good standing within the last year—the company is incorporated in US Virgin Islands. Do you know if we have a website screenshot that will suffice?

Thanks,

JJ

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From: Armen Brash
Sent: Thursday, October 01, 2015 5:44 PM
To: Jj Litchford; Vaishali-P Mehta
Cc: PWMUS AMLKYC
Subject: RE: Account Re-opening [I]

Classification: For internal use only

No Problem at all. Please keep AML Compliance posted.

Best,
Armen

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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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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]

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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; 'pwmaog@list.db.com'; 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

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

pwmaog@list.db.com

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Navin Kumar Pankaj

Analyst PWM US Operations

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Email navin-kumar.pankaj@db.com

From: Jj Litchford

Sent: Friday, October 02, 2015 2:18 AM

To: 'pwmaog@list.db.com'

Subject: Account Re-opening [I]

Classification: For internal use only

Hi--

Please re-open account 42959017 (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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