

Subject: CLEARED: PCR ALERT - [REDACTED] [I]  
From: PWMUS AMLKYC [REDACTED]  
Date: Fri, 28 Nov 2014 13:24:48 -0500  
To: Amanda Kirby [REDACTED]  
Cc: PWMUS AMLKYC [REDACTED]

Classification: For internal use only

Hi Amanda:

AML Compliance has reviewed the attached PCR alerts for [REDACTED]. The alerts are not a match as the first alert refers to an individual born in 1969 or 1970. Per the business, the client was born in [REDACTED]. The second alert pertains to an individual who is married to a Russian PEP named [REDACTED]. Per the attached; the prospective client has no relations with a Russian diplomat. Based on this information, AML Compliance clears this alert from an AML perspective.

Kind Regards,  
MC

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Monifa Crawford, JD  
Associate | AML Compliance Officer

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----- Forwarded by Monifa Crawford/db/dbcom on 11/28/2014 01:19 PM -----

From: Amanda Kirby/db/dbcom  
To: PWMUS AMLKYC/db/dbcom@DBAmericas,  
Date: 11/28/2014 12:09 PM  
Subject: Fw: PCR ALERT - [REDACTED] [I]

Classification: For internal use only

HI,

The first alert pertains to a woman born in either 1969 or 1970 and our client was born in [REDACTED]. The second alert pertains to a woman with the same name who is married to a Russian ambassador. Per the attached email exchange our client has no relation (Richard Kahn is the manager of this account and sole authorized signer.) Please clear the alerts. Thank you

(See attached file: PCR Response from RIch 11.28.2014.pdf)

Best,  
Amanda Kirby

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Amanda Kirby

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Securities offered through Deutsche Bank Securities Inc.

----- Forwarded by Amanda Kirby/db/dbcom on 11/28/2014 12:06 PM -----

From: PWM BIS-Research/db/dbcom@DBAPAC

To: [REDACTED]

Cc: PWMUS AMLKYC/db/dbcom@DBAmericas

Date: 11/19/2014 09:38 AM

Subject: PCR ALERT - [REDACTED] [I]

Classification: For internal use only

EFTA01403878

Hello

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue. Include copies of all responses along with your KYC.

(See attached file: [REDACTED] Alert 1.pdf) (See attached file: [REDACTED] PCR Alert 2.pdf) (See attached file: [REDACTED] PCR Alert.pdf)

Thanks  
Ahsan