

Subject: RDC ALERT - Neptune, LLC [I]
From: PWM BIS-Research <[REDACTED]>
Date: Wed, 02 Oct 2013 16:20:07 -0400
To: [REDACTED]
Cc: PWMUS AMLKYC <[REDACTED]>

Classification: For internal use only

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: Neptune, LLC_RDC Alert.pdf)

Thanks,
Ahsan Manzoor