

Subject: RE: Account Re-opening [I]  
From: Jj Litchford <[REDACTED]>  
Date: Fri, 02 Oct 2015 13:10:35 -0400  
To: Armen Brash <[REDACTED]>,  
Vaishali-P Mehta <[REDACTED]>,  
PWMUS AMLKYC <[REDACTED]>,  
Paul Morris <[REDACTED]>

Classification: For internal use only

I wanted to keep everyone in the loop on the status of Mort Inc. (KYC [REDACTED]). We have a PCR that needs time to clear so likely we can't get this done today. We let the client know and will make a big push to get it done Monday. The client has expedited a request for a new CoGS so we should have that next week.

Thanks for your help so far, I and Paul Morris are extremely appreciative to have such a responsive team working with us on this. You guys rock.

Thanks,

JJ

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154  
Tel. +1 [REDACTED]  
Mobile: [REDACTED]  
Email [REDACTED]

{cid:image002.gif@01D02B3A.F8AC3FC0}

From: Armen Brash  
Sent: Thursday, October 01, 2015 7:15 PM  
To: Jj Litchford; Vaishali-P Mehta

Subject: RE: Account Re-opening [I]

Classification: For internal use only

I think given that the account was closed due to our "error" and not client instructions, a 1 week temporary exception might be appropriate. It's really up to them.

Email Janice Franklin and Yoonsun Chung directly—cc me and vaishali.

Best,  
Armen

---

{cid:image001.gif@01D0FC7D.7DCA8400}

Armen Brash

Deutsche Asset & Wealth Management  
Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA  
Tel. + [REDACTED]  
Fax +1 [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

{cid:image002.gif@01D0FC7D.7DCA8400}

From: Jj Litchford  
Sent: Thursday, October 01, 2015 7:08 PM  
To: Armen Brash; Vaishali-P Mehta  
Subject: RE: Account Re-opening [I]

Classification: For internal use only

So just email PWMUS AMLKYC and ask them?

If we need a new one, there is slim to no chance this can happen tomorrow. Would they be who I requested an exception from also or is this going to be a hard no you think?

Thanks, I appreciate your responsiveness.

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154  
Tel. + [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

{cid:image002.gif@01D02B3A.F8AC3FC0}

From: Armen Brash  
Sent: Thursday, October 01, 2015 7:06 PM  
To: Jj Litchford; Vaishali-P Mehta  
Subject: RE: Account Re-opening [I]

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

---

{cid:image001.gif@01D0FC7C.394F0A90}

Armen Brash

Deutsche Asset & Wealth Management  
Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA  
Tel. [REDACTED]  
Fax + [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

{cid:image002.gif@01D0FC7C.394F0A90}

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

Classification: For internal use only

Yeah I found [https://secure.dlca.vi.gov/license/Asps/Search/-License\\_search.aspx](https://secure.dlca.vi.gov/license/Asps/Search/-License_search.aspx) but it doesn't come up with anything.

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154  
Tel. [REDACTED]

Mobile

Email

{cid:image002.gif@01D02B3A.F8AC3FC0}

From: Armen Brash

Sent: Thursday, October 01, 2015 7:03 PM

To: Jj Litchford; Vaishali-P Mehta

Subject: RE: Account Re-opening [I]

Classification: For internal use only

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

---

{cid:image001.gif@01D0FC7B.B36A00B0}

Armen Brash

Deutsche Asset & Wealth Management  
Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA  
Tel. [REDACTED]

EFTA01405960

Fax [REDACTED]  
Mobil [REDACTED]  
Email [REDACTED]

{cid:image002.gif@01D0FC7B.B36A00B0}

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

Classification: For internal use only

I believe I have everything set up (KYC [REDACTED])... 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

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154  
[REDACTED]

{cid:image002.gif@01D02B3A.F8AC3FC0}

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

---

{cid:image001.gif@01D0FC70.B7CD34C0}

Armen Brash

Deutsche Asset & Wealth Management  
Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA

{cid:image002.gif@01D0FC70.B7CD34C0}

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]

Classification: For internal use only

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.

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154

{cid:image002.gif@01D02B3A.F8AC3FC0}

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

---

{cid:image001.gif@01D0FC70.176C13C0}

Armen Brash

Deutsche Asset & Wealth Management  
Head of Anti-Money Laundering Business Risk  
60 Wall Street, 10005-2836 New York, NY, USA

{cid:image002.gif@01D0FC70.176C13C0}

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

EFTA01405964

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

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154

{cid:image002.gif@01D02B3A.F8AC3FC0}

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

{cid:image001.png@01D06656.2B2B8F40}

Navin Kumar Pankaj

Analyst PWM US Operations

DBOI Global Services Private Limited

Global Business Services

A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City - SEZ, 302029 Jaipur, India

Tel. + [REDACTED]

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

---

{cid:image001.gif@01D02B3A.F8AC3FC0}

JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154

[REDACTED]

{cid:image002.gif@01D02B3A.F8AC3FC0}

---  
This communication may contain confidential and/or privileged information. If you are not the intended recipient (or have received this communication in error) please notify the sender immediately and destroy this communication. Any unauthorized copying, disclosure or distribution of the material in this communication is strictly forbidden.

Deutsche Bank does not render legal or tax advice, and the information contained in this communication should not be regarded as such.