

Subject: FW: Combined KYC list and priorities [I]  
From: Ian Salters <[REDACTED]>  
Date: Sun, 24 Feb 2019 14:33:19 -0500  
To: Davide-A Sferrazza [REDACTED]  
Nina Tona <[REDACTED]>

FYI

Sent with BlackBerry Work  
(www.blackberry.com)

From: Oliver Esslinger [REDACTED]  
Date: Sunday, Feb 24, 2019, 14:30  
To: Brian H Heidelberg [REDACTED], Ian Salters  
[REDACTED], Bill King [REDACTED]  
Cc: Emily Craig [REDACTED], Anas Halim <[REDACTED]>  
Subject: Re: Combined KYC list and priorities [I]

Thank you very much Brian and Emily.

Ian/Bill:

We are pulling KYC stats for OTC derivatives clients. Unfortunately the names do not match for the client names enclosed.  
Can you please review DB Force and provide Brian with GCIS numbers for those 100 IWP and Cap Mkts clients?

Thank you.

Oliver

On Feb 24, 2019, at 14:03, Brian H Heidelberg [REDACTED]  
wrote:

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See the attached file. I added the columns in yellow.

The following names do not exist verbatim in dbForce:

140-154 W 72 Realty LLC

198-202 Elizabeth Street LLC

239-243-247 W 21 Realty LLC

23rd Street, LLC

245 E 19 REALTY LLC

250 E 63 REALTY LLC

509 Madison Avenue Associates LP

Allen, Paul Gardner

Amazonia SP

Amir Weissfisch

AMZAK Capital Management

ANTONY S & JANET C WILLIAMS

Arclight Energy Partners Fund V LP

Banco Invex, SA, Institucion de Banca Multiple, INVEX Grupo Financiero as  
Trustee to Fideicomiso No 911

Belford Investments

Ben Nevis Partnership SP

Bhat, Nityanand

BioDuro LLC

Burger, Peter

BURO INMOBILIARIO AVANTI SA DE CV

Camphill Village Copake Foundation, Inc

CHARLES M VON ARENTSCHILDT TR UAD 04/19/12 CHARLES & MEREDITH TTEES

Charles Stein

Chicago NBC Tower Investments, Inc

CORDISH ENTERPRISES II LLLP

CROWN WATERIDGE ASSOCIATES LP

CUSTODY ERRORS & CLAIMS ACCOUNT MISC

Daniel and Suzanne Cohen

DAVID TODD STEVENS

DAVID W ZALAZNICK & BARBARA M ZALAZNICK

DB Zurich

Diro PTE LTD

Elysee of Brickell LLC

EQUINIMITY LLC

ETERNITY LIMITED

Euro-Partners Fund

FIDEICOMISO BANAMEX 16730-2

Fouad Chartouni

FRANCISCO AGUSTIN COPPEL LUKEN

Gabena PTE LTD

GEOFFREY H PALMER TRUST

GEORGE B KAISER

GOLDENTREE ASSET MANAGEMENT LP

Gracie Investing, LLC

GUY WYSER PRATTE

H/D INVESTORS FUND LP

Harmonia International Ltd.  
Hartz Capital Investments, LLC  
HENRY RITCHOTTE  
Heritage Investing Inc  
Humility Ltd  
ICARO INVESTMENTS LIMITED  
Inmobiliaria Evian-Chamonix SA de CV  
IN-REL Properties Inc  
Inverban SA  
James E Ferrell Revocable Trust Two  
James P Kellner & Michele D Kellner  
JANA HOLDINGS LLC  
JESUS MANUEL MUNOZ and MARYEN MUNOZ  
JOHN R MILLER ENTERPRISES LLC  
JOHN W CHILDS  
JONATHAN BLOOSTEIN  
JORGE LUIS ORBAY & MARIA MARGARITA TREMOLS  
Josiko Properties LLC  
Juergen and Meifang Buchsteiner  
JWM Family Enterprises, Inc  
Karlin Las Palmas Subsidiary, LLC  
KIFENOR SA  
KLAUS NEHRING  
Lenton Properties Inc  
Lepow, Howard  
Linton Grove Holdings LLC

MC2 Holdings LLC  
Meister, Keith A  
Milber Holdings LLC  
MONTECO INTERNATIONAL CORP  
Mulberry Vine Limited  
OP, LLC  
PARKWOOD LLC  
Parmer RTP LLC  
PETER FINE  
PINEWOLD MANAGEMENT COMPANY LP  
PRIVATE WEALTH MANAGEMENT NEW YORK  
PRIVATE WEALTH MANAGEMENT NY AC PB US ONSHORE  
PRODUCTIVE HOLDINGS S A  
Railroad Properties LLC  
RAJ BHATTACHARYYA  
Robert L Allbritton  
Ronald W Burkle  
SCA Ventures LLC  
Sincock II, Craig R  
SOMERSTON INVESTMENTS LTD  
Southern Fox Investments Ltd  
Southern Trust Company Inc  
STEVEN A TANANBAUM  
STEVEN J KASSIN & ISAAC S FRANCO JOINTLY & SEVER  
Stitzer, Howard T

T CO Metals LLC

TENDENCIA ASSET MANAGEMENT LTD

THE FLORESCUE FAMILY CORP

The Gary E Primm Family Trust dated April 10, 1984

THE JAMES P KELLNER 2008 IRREVOCABLE TRUST

The MST Trust

THE PETER MULLIN FAMILY TRUST UDT DTD 12-18-2000

Third Street Mall Properties, LLC

Thomas Point Ventures LP

Tilman J. Fertitta

Timothy Rattray

TOW, LEONARD RELATIONSHIP

TRUMBULL EQUITIES LLC

Vanguardia Inversiones SAS

Visper Pte Ltd

Vitton, Michael

Brian Heidelberg  
[REDACTED]

From: Emily Craig

Sent: Sunday, February 24, 2019 1:45 PM

To: Oliver Esslinger [REDACTED]; Brian H Heidelberg

Cc: Anas Halim [REDACTED]

Subject: RE: Combined KYC list and priorities [I]

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They look to be exact to Client Name in dbForce.

Kind Regards,

Emily

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<image001.png>

Emily Craig

Director

Deutsche Bank Wealth Management

Deutsche Bank Securities, Inc

1 South Street, Baltimore, MD 21202-3298

[REDACTED]  
WM Mercury on myDB

From: Oliver Esslinger

Sent: Sunday, February 24, 2019 1:40 PM

To: Brian H Heidelberg [REDACTED]

Cc: Emily Craig [REDACTED]; Anas Halim [REDACTED]

Subject: Re: Combined KYC list and priorities [I]

Those should be the names in dB force.

Please don't kill yourselves with this but we would need to understand whether we have full completed and approved KYCs on file for those or what status is. If you cannot find Name match right away I will reach out to product teams and ask for review.

Best regards

Oliver

On Feb 24, 2019, at 13:35, Brian H Heidelberg [REDACTED] wrote:

Classification: For internal use only

Are the names verbatim, as they appear in dbForce?

Brian Heidelberg  
[REDACTED]

From: Emily Craig  
Sent: Sunday, February 24, 2019 1:33 PM  
To: Brian H Heidelberg [REDACTED]; Anas Halim  
[REDACTED]  
Cc: Oliver Esslinger [REDACTED]  
Subject: FW: Combined KYC list and priorities [I]

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Brian/Anas,

Can we get last KYC date, risk, Primary Officer/AC0, for attached list?  
Tricky part will be we don't have GCIS numbers in this view.

Kind Regards,

Emily

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<image001.png>

Emily Craig

Director

Deutsche Bank Wealth Management

Deutsche Bank Securities, Inc

1 South Street, Baltimore, MD 21202-3298



WM Mercury on myDB

From: Oliver Esslinger  
Sent: Saturday, February 23, 2019 5:47 AM  
To: Emily Craig [REDACTED]  
Subject: Fwd: Combined KYC list and priorities [I]

Hi Emily

Not sure what if any engagement occurred from your end or from somebody in your team on this in the past. I am coordinating agenda with local and UK WM and CIB stakeholders going forward. One question I have for you is whether your team can assist in checking KYC status for those 200+ clients as per attachment.

In case CIB is asking for docs to rely upon etc tbd i would like to understand if all of those have already been remediated or if not can be prioritized/offboarded etc.

Do you by chance have somebody that could look into this next week (maybe Passcon assuming most are MR and LR) and amend table with KYC status accordingly? Let me know please.

Looking forward to seeing you again in Jax for comm day.

Cheers

Oliver

Begin forwarded message:

From: Oliver Esslinger [REDACTED]  
Date: February 22, 2019 at 19:57:24 EST  
To: Ian Salters [REDACTED], Bill King [REDACTED]  
Cc: Thomas Klemm [REDACTED], Victoria Bruce [REDACTED]

Subject: FW: Combined KYC list and priorities [I]

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Hi Ian/Bill:

Thanks for your input provisions, I took the liberty to review and clean up the files, we have now also added ISG RM names and potential KYC outreach contacts going forward.

Our key focus for now should be have a complete inventory of clients in scope including prioritization to share with CIB for identification of action items and time lines.

In this context I ask you to amend the template as following:

- Column M: Based on CIB business differentiation by OTC product (FX vs IR) please flag what kind of exposure the clients have, I hope and assume that it will not matter from a contractual documentation perspective, nevertheless we should have this breakdown for future reviews
- Column O: For the clients that are not a priority and without current CIB KYC in place is offboarding a feasible alternative (62 or almost 50% for ISG and 30 or almost 40% of IWP clients)? If offboarding is not an option, please provide business rationale/commercial viability.
- other outstanding tab: I am not clear on the purpose probably lacking historic discussions, upon review I highlighted counterparty names which were already captured in first tab, hence not sure what is outstanding here. Only 7 names are not covered yet, can you please advise, clarify?

PS: I will see Vicky on Monday to review next steps also to be discussed in upcoming call hence keeping this in small circle for now .

Best

Oliver

<OTC Derivatives Project WM Client list Feb 22.xlsx.secure>