

Subject: RE: Missed conversation with Matthew-J Purcell
From: Cynthia Rodriguez <[REDACTED]>
Date: Fri, 16 Mar 2018 16:07:09 -0400
To: Matthew-J Purcell <[REDACTED]>

Yesterday's issue was for Jefferies SBI Fund GP LP I believe. They have so many similarly named accounts. Lina was reviewing the case and might know the complete name. I am currently out of the office.

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(www.blackberry.com)

From: Matthew-J Purcell <[REDACTED]>
Date: Friday, Mar 16, 2018, 4:05 PM
To: Cynthia Rodriguez <[REDACTED]>
Subject: RE: Missed conversation with Matthew-J Purcell

do you remember the client by any chance? KYC number? I will search for it

Matthew Purcell
Assistant Vice President | AML Compliance

Deutsche Bank
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

From: Cynthia Rodriguez
Sent: Friday, March 16, 2018 4:04 PM
To: Matthew-J Purcell <[REDACTED]>
Subject: RE: Missed conversation with Matthew-J Purcell

Hi Matthew,

It should be attached in the recently approved case. Since this case was submitted for review prior to the certificate expiring, would you please accept it or provide an alternative item that will be accepted? Our client will close this account if we go back to request an updated one. We just dealt with this yesterday on one of their other accounts. Yoonsun was very helpful.

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From: Matthew-J Purcell <[REDACTED]>

Date: Friday, Mar 16, 2018, 3:41 PM

To: Matthew-J Purcell <[REDACTED]>, Cynthia Rodriguez
<[REDACTED]>

Subject: Missed conversation with Matthew-J Purcell

Matthew-J Purcell 9:01 AM:

Hello Cynthia

Cynthia Rodriguez 9:01 AM:

hello matthew

Matthew-J Purcell 9:01 AM:

How are you?

Cynthia Rodriguez 9:01 AM:

lol

good and you?>

Matthew-J Purcell 9:01 AM:

I am working on KYC 1850140

good.

By any chance do you have the escalation email and clearance to Rep Risk

Kimberly Hart

Matthew-J Purcell 9:08 AM:

I can send it back and you can upload it when they come back if you dont have it

Cynthia Rodriguez 9:10 AM:

sorry was on a call one sec

yesss i have the rep risk approvallll

ill send it over now

they agreed to continue the relationship but make him high risk going forward to monitor him

Cynthia Rodriguez 9:19 AM:

im hoping it just gets approved causeeeee

my last day at the firm is 3/21

(u)

Matthew-J Purcell 9:21 AM:

Congrats to you!

and sad to hear because you're very good

Cynthia Rodriguez 9:22 AM:

thank youuuuu\

It's a really good opportunity and in the compliance field so even better

Matthew-J Purcell 9:22 AM:

that's a good field to be in

Cynthia Rodriguez 9:24 AM:

it certainly is....especially when they've beat me to a pulp with kycs here
hahahaha

Matthew-J Purcell 9:24 AM:

:D:D:D

Matthew-J Purcell 10:45 AM:

just to confirm the rep risk approval was obtained on 03/07/2018?

Cynthia Rodriguez 10:45 AM:

yupp

Matthew-J Purcell 10:45 AM:

thank you

Matthew-J Purcell 10:50 AM:

approved

Cynthia Rodriguez 12:22 PM:
resubmitted guardian for you

let me know if i missed anything

Matthew-J Purcell 9:03 AM:
hey

Cynthia Rodriguez 9:56 AM:
heyyy

Matthew-J Purcell 1:20 PM:

Hey sorry to bother you but the TIN # for The Caterpillar Trust 2017 is an individuals

can you provide me with the correct TIN and i will update it right away

Cynthia Rodriguez 1:26 PM:
26-6639711

Matthew-J Purcell 3:39 PM:

hey

can you provide me with the certificate of good standing for ING Barings
Global Leveraged Equity Plan Ltd.