

Subject: RE: ACTION REQUIRED: Issue related to ACUs [I]
From: Mildred Hernandez <[REDACTED]>
Date: Mon, 07 Mar 2016 11:02:56 -0500
To: Armen Brash <[REDACTED]>,
Amanda Kirby <[REDACTED]>,
Melisa Venegas <[REDACTED]>,
Melinda Roy <[REDACTED]>
Cc: Paul Morris <[REDACTED]>

Classification: For internal use only

I SENT IT TO jj

From: Armen Brash
Sent: Monday, March 07, 2016 11:03 AM
To: Amanda Kirby; Melisa Venegas; Mildred Hernandez; Melinda Roy
Cc: Paul Morris
Subject: RE: ACTION REQUIRED: Issue related to ACUs [I]

Classification: For internal use only

Sorry Amanda and Melinda—this should go t JJ.

JJ- see below

Melisa: can you update your list, JJ supports Paul

Best,
Armen

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Armen Brash

Director

Deutsche Bank Wealth Management

345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1 212 250-0755 Fax +1 646 588-1858
Mobile +1 [REDACTED]
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From: Amanda Kirby
Sent: Monday, March 07, 2016 10:51 AM
To: Melisa Venegas; Mildred Hernandez; Melinda Roy
Cc: Paul Morris; Armen Brash
Subject: RE: ACTION REQUIRED: Issue related to ACUs [I]

Classification: For internal use only

Melinda - FYI

Best,
Amanda Kirby

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Amanda Kirby

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Securities offered through Deutsche Bank Securities Inc.

From: Melisa Venegas
Sent: Monday, March 07, 2016 10:49 AM
To: Amanda Kirby; Mildred Hernandez
Cc: Paul Morris; Armen Brash
Subject: ACTION REQUIRED: Issue related to ACUs [I]

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All,

As you may know, per the AML Procedures manual, certain clients are excluded from ACUs. An issue has been identified in dbforce where High Risk clients are given an ACU Auto Exemption for Retail Banking, however, per Policy, this exception does NOT apply to High Risk clients.

Unfortunately, the code in dbforce is exempting high risk clients with only deposit accounts under \$250K from the ACU when it should not be—the code will be fixed, but in the meanwhile, while the ACUs listed below don't appear as overdue, they must be completed.

GCIS Customer #

Customer Name

Relationship

P0

487216

JEGE, LLC

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

499733

LSJE, LLC

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Please let me know if you have any questions and please let me know when this has been completed. Thank you.

Regards,

{cid:image005.gif@01CFF815.216EE0B0}

Melisa Venegas
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60 Wall Street, 10005-2836 New York, NY, USA
Tel.: +1 (212) 250-1493
Email [REDACTED]

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