

Subject: Fwd: Biweekly update onboarding update [I]
From: Thomas Klemm <[REDACTED]>
Date: Tue, 05 Mar 2019 16:43:21 -0500
To: Patrick Campion <[REDACTED]>
Cc: Donna Kerrigan <[REDACTED]>, Ashok Eastman <[REDACTED]>

Fyi below update on IWP account openings. Some progress but little revs.

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Begin forwarded message:

From: Ian Salters <ian.salters@db.com>
Date: March 5, 2019 at 4:34:44 PM EST
To: Thomas Klemm <[REDACTED]>
Subject: FW: Biweekly update onboarding update [I]

> Classification: For internal use only

Onboardings Completed

WM

1. Randy Klinsfky – NCA Completed 2/27/2019
2. Gruber Family Foundation – NCA Completed 02.22.2019
3. Jon D and Linda W Gruber Trust – NCA Completed 02.25.2019

WM YTD Onboarding Completed: NCA- 8

GM

GM YTD Onboardings Completed: Remediations – 7 Refreshes – 2

Note: YTD revenue is ~EUR40k

From: Ian Salters
Sent: Friday, March 01, 2019 5:34 PM
To: Todd Stevens <[REDACTED]>
Cc: Daniel-E Kaiser <[REDACTED]>; Alan Brody <[REDACTED]>; Victoria Bruce <[REDACTED]>; Nina Tona <[REDACTED]>; Ian Salters <[REDACTED]>
Subject: Biweekly update onboarding update [I]

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Hi Todd,

Please see the below bi-weekly update.

Things are progressing, we have had some completions and most of the others are making good progresses. This is done through continuous communication with IWP (I&T and Coverage), Bankers or their RCs and COB. Please review the link for further review in respect of all outstandings KYC.

<https://sharepoint.us.intranet.db.com/site4922/Lists/-IWP%20Americas%20CM%20Desk%20KYC%20Tracking/Allitemsg.aspx>

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Onboardings Making Progress

WM

1. Jon Gruber IRA – NCA is completed, pending account opening documentation. Should be finalized soon.
2. Jerry Weintraub – Should have docs from client by 3.1.2019. KYC moving forward.
3. Endurance Voyages PE Holdings LLC – COB required more info, banker submitted 2.28.2019. Should be finalized soon.

GM

1. Inversiones Alabama Limitada – UK AFC Review Pending, COB has escalated. US AFC review completed. Nothing else pending. Should be finalized soon.

2. Black Maple Capital Partners – Client is finalizing docs for COB to review NCA
3. Jeffrey D. Murray Trust, Laura A. Murray Trust, Katelyn J. Murray Trust – All three sent required docs however a few were incomplete, pending with client. Client should provide soon.

Onboarding Issues

WM

1. Fairview Capital – Client not responding. G. Kiesel planning a trip to visit client
2. Harold Ripps – M. Gonzalez and Alan B need to figure out who will reach out to client
3. Detroit Street – Client not responsive
4. Hallador – Client has been giving banker the run around

GM

1. Willett Advisors LLC – Martin is discussing with banker to see if we should retain.
2. Fox Growth Fund Inc. – Client hasn't provided docs even though they said they would provide 2.22.2019

Kind regards,
Ian Salters
