

Subject: RE: ****REVISED**** RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

From: William Barrett <[REDACTED]>

Date: Fri, 10 May 2019 15:09:37 -0400

To: Brigid Macias <[REDACTED]>, [REDACTED]

Cc: Bhavesh Chandani <[REDACTED]>, Rishabh Sharma <[REDACTED]>, Oversight Control <oversight.control@db.com>, Vikas Dave <[REDACTED]>, [REDACTED], Stewart Oldfield <[REDACTED]>, Natalie Barak <[REDACTED]>

Classification: For internal use only

BSO temporary exception approved to reopen the account. Once the issue is resolve please respond to this e mail by 5/16/19, at which time the exception will expire.

Regards,

William Barrett

{logo}

William Barrett
Assistant Vice President | Business Supervisory Office

Deutsche Bank Securities Inc.
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA
Tel. [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{positiveimpact}

From: Brigid Macias
Sent: Friday, May 10, 2019 2:40 PM
To: 'bsoexceptions@list.db.com' <bsoexceptions@list.db.com>
Cc: Bhavesh Chandani <[REDACTED]>; Rishabh Sharma

<[REDACTED]>; Oversight Control <oversight.control@db.com>; Vikas Dave <[REDACTED]>; Stewart Oldfield <[REDACTED]>; Natalie Barak <[REDACTED]>
Subject: FW: ****REVISED**** RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]
Importance: High

Good Afternoon,

RE: 42953432 - HYPERION AIR, LLC

Can you please provide an approval to temporarily open the above referenced account so we can manually post a credit and debit, then close the account?

The client processed an internal transfer from Online Banking from account 35269691 - JEFFREY EPSTEIN for \$100,000 to the above account. The client then processed an outgoing wire (case 02087161) for \$100,000. Both transactions were processed on 5/9/19.

I put up case 02087297 to close the account as the balance was zero on 5/9/19.

The issue we are having is, because the above account was closed, the back office cannot post the credit and debit accordingly. As per my conversation with the client, the recipient has already received the funds from the online banking wire. The client doesn't want to post the debit to another account as they see everything processed accordingly.

The second issue will be, if we leave this alone, it will be an audit issue if we cannot show evidence the credit and debit were posted correctly.

Once we process the credit and debit, I can close the account.

If you need to speak with me, please call me.

Kind regards,
Brigid Macias

{cid:image004.png@01D50742.5C178960}

Brigid Macias
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue

24th Floor
New York, NY 10154

Tel. [REDACTED]

Fax [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Brigid Macias

Sent: Friday, May 10, 2019 2:17 PM

To: Rishabh Sharma <[REDACTED]>; Stewart Oldfield

<[REDACTED]>; Bradley Gillin <[REDACTED]>; Monica

Gilkinson <[REDACTED]>; Rachel Wachs <[REDACTED]>

Cc: Natalie Barak <[REDACTED]>;

'gtopwmbankingexceptioncheckprocessing@list.db.com'

<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control

<oversight.control@db.com>; Vikas Dave <[REDACTED]>; Armen Brash

<[REDACTED]>; Daphne Cales <[REDACTED]>

Subject: RE: ****REVISED**** RE: Non Post Transactions 05-09-2019 For AC
42953432 [I]

Importance: High

Im on with Bhavesh at the moment regarding this.

Kind regards,
Brigid Macias

{cid:image004.png@01D50742.5C178960}

Brigid Macias
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue

24th Floor
New York, NY 10154

Tel. [REDACTED]

Fax [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Rishabh Sharma
Sent: Friday, May 10, 2019 1:49 PM
To: Stewart Oldfield <[REDACTED]>; Bradley Gillin
<[REDACTED]>; Monica Gilkinson <[REDACTED]>; Rachel
Wachs <[REDACTED]>; Brigid Macias <[REDACTED]>
Cc: Natalie Barak <[REDACTED]>;
'gtopwmbankingexceptioncheckprocessing@list.db.com'
<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control
<oversight.control@db.com>; Vikas Dave <[REDACTED]>; Armen Brash
<[REDACTED]>; Daphne Cales <[REDACTED]>
Subject: ****REVISED**** RE: Non Post Transactions 05-09-2019 For AC
42953432 [I]

Classification: For internal use only

EFTA01413637

Hello,

Please provide update on below before our cutoff of 2:30 PM EST.

We cannot hold both these Debit and Credit breaks in our Non post GL, hence would need your decision today.

Regards,

Rishabh Sharma

{cid:image003.png@01D20F46.0F9EFA10}

DBOI Global Services Private Limited

COO Wealth Management Operations

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]

Please send all the Banking related Queries to our new Group E-mail ID

gtopwmbankingexceptioncheckprocessing@list.db.com

From: Naveen Bagaria [mailto:[REDACTED]]

Sent: Friday, May 10, 2019 11:42 AM

To: Brigid Macias <[REDACTED]>

Cc: Stewart Oldfield <[REDACTED]>; Natalie Barak

<[REDACTED]>; 'gtopwmbankingexceptioncheckprocessing@list.db.com'

<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control

<oversight.control@db.com>

Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Classification: For internal use only

Absolutely not, Brigid.

This account # 42953432 doesn't even have a penny at this moment. Both the credit and debit transaction for 100K got stuck in Non Post as the account is closed. In order to pass both these transactions using this account – it needs to be open & active.

And most importantly if you wish to close the account again, you need to make sure that happens the next day. Please let me know if this makes sense?

Regards

Naveen Bagaria

COO - Wealth Management Operations

DBOI Global Services Private Limited

Tel: [REDACTED] | VOIP: [REDACTED]

Fex: [REDACTED] | Cell: [REDACTED]

Please send all Banking related queries to our new Group E-mail ID -
gtopwmbankingexceptioncheckprocessing@list.db.com

From: Brigid Macias [mailto:[REDACTED]]

Sent: Friday, May 10, 2019 11:33 AM

To: Ankit-Kumar Sharma <[REDACTED]>; Bhavesh Chandani
<[REDACTED]>

Cc: Stewart Oldfield <[REDACTED]>; Natalie Barak

<[REDACTED]>; 'gtopwmbankingexceptioncheckprocessing@list.db.com'
<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control
<oversight.control@db.com>
Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

This account 42953432.

Kind regards,
Brigid Macias

{cid:image001.png@01D50725.12063A00}

Brigid Macias
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue

24th Floor
New York, NY 10154
Tel. [REDACTED]
Fax + [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Ankit-Kumar Sharma
Sent: Friday, May 10, 2019 11:32 AM
To: Brigid Macias <[REDACTED]>; Bhavesh Chandani
<[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>; Natalie Barak
<[REDACTED]>; 'gtopwmbankingexceptioncheckprocessing@list.db.com'

<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control
<oversight.control@db.com>

Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Hi Brigid,

Which account?

Kind regards ?

{cid:image001.png@01D1D7AA.4A648990}

Ankit Kumar Sharma

Analyst I PWM-US Ops – Banking

COO - Wealth Management Operations

DBOI Global Services Private Limited
A-1 Tower , Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India

Tel: [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

Please send all Banking related queries to our new Group E-mail ID -
gtopwmbankingexceptioncheckprocessing@list.db.com

From: Brigid Macias [mailto:[REDACTED]]
Sent: Friday, May 10, 2019 11:27 AM
To: Bhavesh Chandani <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>; Natalie Barak
<[REDACTED]>; 'gtopwmbankingexceptioncheckprocessing@list.db.com'
<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control

<oversight.control@db.com>

Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Importance: High

Can we post to this account? Will the account be overdrawn?

Kind regards,
Brigid Macias

{cid:image001.png@01D50725.12063A00}

Brigid Macias
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue

24th Floor
New York, NY 10154

Tel. [REDACTED]

Fax [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Bhavesh Chandani

Sent: Friday, May 10, 2019 11:24 AM

To: Brigid Macias <[REDACTED]>

Cc: Stewart Oldfield <[REDACTED]>; Natalie Barak

<[REDACTED]>; 'gtopwmbankingexceptioncheckprocessing@list.db.com'

<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control

<oversight.control@db.com>; Rishabh Shah <[REDACTED]>; Rishabh

Sharma <[REDACTED]>

Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Classification: For internal use only

Hi Brigid,

For the below account client submitted a wire yesterday.

As yesterday you also submitted a case to close the account, so when the night batch ran it got account closed so the entry was bounced back to non-post.

Please let me know if I can call you regarding the same.

Kind Regards?

Bhavesh Chandani

{cid:image002.png@01D1AB5D.AD617A90}

Bhavesh Chandani
Process Supervisor | PWM US Operations
DBOI Global Services Private Limited
COO Wealth Management Operations
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India
Mobile [REDACTED]

VOIP [REDACTED]

telephone: [REDACTED]

Email [REDACTED]

{cid:image003.png@01D424E9.BC333740}

Integrity | Sustainable Performance | Client Centricity | Innovation |

Discipline | Partnership

Please send all the Banking related Queries to our new Group E-mail ID
gtopwmbankingexceptioncheckprocessing@list.db.com

From: Rishabh Shah [mailto: [REDACTED]]
Sent: Friday, May 10, 2019 10:57 AM
To: Rishabh Sharma < [REDACTED] >
Cc: Stewart Oldfield < [REDACTED] >; Brigid Macias
< [REDACTED] >; Natalie Barak < [REDACTED] >;
'gtopwmbankingexceptioncheckprocessing@list.db.com'
<gtopwmbankingexceptioncheckprocessing@list.db.com>; Oversight Control
<oversight.control@db.com>
Subject: RE: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Please advise Brigid on below.

Regards,

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

RISHABH SHAH

Wealth Management

(PWM US OPS - BANKING)

DBOI Global Services Pvt Ltd.

Deutsche Bank Group

EFTA01413644

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

From: Brigid Macias
Sent: Friday, May 10, 2019 9:49 AM
To: Rishabh Shah <[REDACTED]>
Cc: Oversight Control <oversight.control@db.com>; Natalie Barak <[REDACTED]>; Stewart Oldfield <[REDACTED]>
Subject: FW: Non Post Transactions 05-09-2019 For AC 42953432 [I]
Importance: High

Good Morning,

Can you please advise what this means? The client put up case 02087161 on 5/9 so the funds should have been deducted yesterday from the account.

Kind regards,
Brigid Macias

{cid:image004.png@01D50722.B987E0B0}

Brigid Macias
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue

24th Floor
New York, NY 10154
Tel. [REDACTED]
Fax + [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Rishabh Sharma
Sent: Friday, May 10, 2019 9:06 AM
To: Stewart Oldfield <[REDACTED]>; Bradley Gillin <[REDACTED]>; Monica Gilkinson <[REDACTED]>; Rachel Wachs <[REDACTED]>
Cc: 'gtopwmbankingexceptioncheckprocessing@list.db.com' <gtopwmbankingexceptioncheckprocessing@list.db.com>; Debra Jasper <[REDACTED]>; Halina Laczny <[REDACTED]>; Oversight Control <oversight.control@db.com>
Subject: Non Post Transactions 05-09-2019 For AC 42953432 [I]

Classification: For internal use only

Hi Team,

Please advise, if the below transaction(s) are okay to post or not:-

Please note A/C is closed : 05/09/2019

5 42-953-432 HYPERION AIR, L 286 100,000.00 ACCOUNT CLOSED 997000509092719
524 N

REF 1290927L FUNDS TRANSFER FRM DEP 35269691

FROM

5 42-953-432 HYPERION AIR, L 822 100,000.00 ACCOUNT CLOSED 998000509110307
521 N

TO MANUFACTURERS AND TRADERS TRUST C O A/C 9852497537 I

INTERNATIONAL JET INTERIORS, INC.

If any of the transactions are deemed fraudulent, you must immediately notify your business manager and report the fraud to PBFraudReporting. Please follow the steps detailed in the fraud procedures.

EFTA01413646

<https://awm.wm.intranet.db.com/forms/private-bank-forms-account-agreements/-fraud>

Regards,

Rishabh Sharma

{cid:image003.png@01D20F46.0F9EFA10}

DBOI Global Services Private Limited

COO Wealth Management Operations

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]

Please send all the Banking related Queries to our new Group E-mail ID

gtopwmbankingexceptioncheckprocessing@list.db.com

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

Privacy of communications

In order to monitor compliance with legal and regulatory obligations and our policies, procedures and compliance programs, we may review emails and instant messages passing through our IT systems (including any personal data and customer information they contain), and record telephone calls routed

via our telephone systems. We will only do so in accordance with local laws and regulations. In some countries please refer to your local DB website for a copy of our Privacy Policy.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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

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.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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

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

Privacy of communications

In order to monitor compliance with legal and regulatory obligations and our policies, procedures and compliance programs, we may review emails and instant messages passing through our IT systems (including any personal data and customer information they contain), and record telephone calls routed

via our telephone systems. We will only do so in accordance with local laws and regulations. In some countries please refer to your local DB website for a copy of our Privacy Policy.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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

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.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

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