

Subject: FW: ACTION REQUIRED: Issue related to ACUs [I]
From: Mildred Hernandez <[REDACTED]>
Date: Mon, 07 Mar 2016 10:49:58 -0500
To: Stewart Oldfield <[REDACTED]>,
Jj Litchford <[REDACTED]>
Cc: Armen Brash <[REDACTED]>

Classification: For internal use only

fyi

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,

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Melisa Venegas
Deutsche Bank Wealth Management
60 Wall Street, 10005-2836 New York, NY, USA
Tel.: [REDACTED]
Email [REDACTED]

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