

Subject: RE: MD approval required for ACUs completed for High Risk Clients [I]
From: Andrew Gallivan [REDACTED]
Date: Fri, 19 Aug 2016 08:22:50 -0400
To: Vaishali-P Mehta [REDACTED]
Cc: Mark Gonzalez [REDACTED]
Stewart Oldfield <[REDACTED]>,
Joseph Sabbagh [REDACTED]

Classification: For internal use only

Approved

From: Vaishali-P Mehta
Sent: Thursday, August 18, 2016 5:30 PM
To: Andrew Gallivan
Cc: Mark Gonzalez; Stewart Oldfield; Joseph Sabbagh
Subject: RE: MD approval required for ACUs completed for High Risk Clients [I]

Classification: For internal use only

Good Evening Andrew,

Could you please review the below ACUs and provide your approval ?

Regards,

Vaishali Mehta

Head of Anti-Money Laundering Business Risk
Deutsche Bank Wealth Management

101 California Street, Suite 2400, San Francisco, CA USA
Tel. + [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

From: Vaishali-P Mehta
Sent: Wednesday, July 27, 2016 12:58 PM
To: Andrew Gallivan
Cc: Mark Gonzalez; Stewart Oldfield; Joseph Sabbagh
Subject: MD approval required for ACUs completed for High Risk Clients [I]

Classification: For internal use only

Good afternoon Andrew,

Based on new procedures, your approval is required for the following ACU's completed for High Risk Clients that were submitted this month for the below clients:

Please let me know if you have any questions.

Customer Owner

GCIS Customer Number

MD

Customer Name

Annual Client Update: Created Date

A14.

A15. Client Status Update Description

A16.

A17.

A17.

Mark Gonzalez

00000486553

Andrew Gallivan

Gapstow Structured Credit Master Fund LP

42565

The entity is a Private Equity Investments firm. Commitments to the fund are raised from a number of sources including personal pension funds, financial institutions, foundations, endowments, and wealthy individuals.

No changes have occurred for this entity.

No

No

No

Stewart Oldfield

00000409100

Andrew Gallivan

Black, Leon D.

42500

client is CEO of Apollo Global management. Family office established in 2014 to manage family wealth.

Distributions from APO and other diversified investments.

Yes

No

No

Joseph Sabbagh

00000499774

Andrew Gallivan

Granite 1717 Hotel LLC

42563

No changes in nature of business

No changes in income-producing activities

Yes

No

No

Stewart Oldfield

00000486427

Andrew Gallivan

J. Epstein Virgin Islands Foundation, Inc

42500

Private foundation

investment income

Yes

No

No

Stewart Oldfield

00000486423

Andrew Gallivan

Jeepers, Inc

42500

No change in client activities, trading activities, private investments and client advisory.

client estate advisory services, investments

Yes

No

No

Stewart Oldfield

00000486423

Andrew Gallivan

Jeepers, Inc

42500

Jeepers is sub S managing various investments

investment activities, advisory services

Yes

No

No

Stewart Oldfield

00000487266

Andrew Gallivan

Mort, Inc

42500

Mort is entity holding shares of private company Jawbone

Holds private investment

No

No

No

Stewart Oldfield

00000486428

Andrew Gallivan

The Haze Trust

42500

Investment vehicle

No change

Yes

No

No

Regards,

Vaishali Mehta

Head of Anti-Money Laundering Business Risk
Deutsche Bank Wealth Management

101 California Street, Suite 2400, San Francisco, CA USA

Tel. [REDACTED]

Mobil [REDACTED]

Email [REDACTED]

