

Subject: RE: KYC Remediation [I]
From: Daphne Cales [REDACTED]
Date: Mon, 12 Jun 2017 11:48:27 -0400
To: Cynthia Rodriguez [REDACTED]
Stewart Oldfield <[REDACTED]>
Cc: Sheffali Welch <sheffali.welch@db.com>

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Thank you Cynthia. I'll make a note of this. Enjoy the rest of your day.

Kind regards,
Daphne Cales

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Daphne Cales
Director | Banking Services & Branch Manager

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From: Cynthia Rodriguez
Sent: Monday, June 12, 2017 10:12 AM
To: Daphne Cales [REDACTED] Stewart Oldfield
<[REDACTED]>
Cc: Sheffali Welch [REDACTED]
Subject: RE: KYC Remediation [I]

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Hi Daphne,

Thank you so much for the list. After reviewing, I noticed the following entities have been recently KYC'd as of March 2017 (case 01751337):

- Waneke Trust of 2000
- SSW 2007 LLC
- KWF 2007 LLC
- Todd R. Waneke

I just wanted to confirm that the only ones that would need to be completed for 2017 would be:

- Howard Ellin
- Gratitude America
- Jeffrey Epstein
- LSJE LLC
- The National Organization of the New Apostolic Church of North America
- JSC Interiors LLC
- Christopher Boies
- CRW 2007 LLC
- GEW 2007 LLC

Thank you again for your help on this!

Kind regards,

Cynthia Rodriguez

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Cynthia Rodriguez
Assistant Vice President

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From: Daphne Cales
Sent: Friday, June 09, 2017 10:54 AM
To: Stewart Oldfield
Cc: Cynthia Rodriguez; Sheffali Welch
Subject: KYC Remediation [I]

Classification: For internal use only

Good morning.

Per the new global KYC policy a remediation project has been initiated to update KYCs for all clients identified as "High and Moderate" risk, and will eventually include "Low" risk as well.

Attached you will find a list of your clients that are either due or coming due this year. My team will be assisting with the initial task of confirming that we have the basic information, including IDs, SSN, TINs and launching research requests on the last known parties.

Once that is complete we will forward directly to the RCs/ROs for their review. They will need to reach out to the client for any missing information and confirmation that there has not been any material changes. It is imperative that this is done as quickly as possible. If there are any on the list that you have already done or would like to complete yourself due to any sensitive information please let me know.

Feel free to contact me with any questions or concerns.

Kind regards,
Daphne Cales

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