

Subject: RE: 2018 Regular Reviews: High Risk clients [I] [C]
From: Adrienne Bull [REDACTED]
Date: Tue, 03 Jul 2018 09:23:36 -0400
To: Janice Franklin [REDACTED]
Cc: Oliver Esslinger [REDACTED]
Wayne Salit [REDACTED],
Yoonsun Chung [REDACTED]
Kshitij Golani [REDACTED]
Melisa Venegas [REDACTED]

Classification: Confidential

Hi Janice –

See attached for a list of customers for KYC (listed by due month Feb - August) that will be (e.g., currently in rejected status, in progress) or are already in AFCs queue (pending AFC approval) as well as HR customers pending with ABR for a risk downgrade). KYCs currently pending with ABR are included as there may be instances where the customer may not be downgraded.

Note: the attached does not contain a tab for January as all customers in scope with a due date for Jan have been completed

Kind Regards

Adrienne
[REDACTED]

From: Adrienne Bull
Sent: Tuesday, April 10, 2018 5:29 PM
To: Janice Franklin [REDACTED]
Cc: Oliver Esslinger [REDACTED]; Wayne Salit [REDACTED]
[REDACTED]; Yoonsun Chung [REDACTED]; Kshitij Golani [REDACTED]
[REDACTED]; Sheffali Welch [REDACTED]
Subject: RE: 2018 Regular Reviews: High Risk clients [I] [C]

Classification: Confidential

Hi Janice –

See attached for a file (listing by due month) the KYC case numbers that will be (e.g., currently in rejected status, in progress) or are already in AFCs queue (pending AFC approval).

Let me know if you have any questions and the frequency in which you want the file (weekly, bi-weekly).

Kind Regards

Adrienne

[REDACTED]

From: Janice Franklin
Sent: Tuesday, April 10, 2018 12:17 PM
To: Adrienne Bull [REDACTED] Sheffali Welch
[REDACTED]
Cc: Oliver Esslinger [REDACTED] Wayne Salit
[REDACTED] Yoonsun Chung [REDACTED] Kshitij Golani
>
Subject: RE: 2018 Regular Reviews: High Risk clients [I]

Awesome! Thank you so much.

Regards,
Janice P. Franklin

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Janice Franklin, CAMS, CFSA, CFIRS
Vice President | AML Compliance Officer

Deutsche Bank Americas
Regulation, Compliance & Anti-Financial Crime

60 Wall Street, 10005-2836 New York, NY, USA

Tel. [REDACTED]

Email [REDACTED]

From: Adrienne Bull

Sent: Tuesday, April 10, 2018 12:14 PM

To: Janice Franklin [REDACTED] Sheffali Welch

Cc: Oliver Esslinger [REDACTED] Wayne Salit

[REDACTED] Yoonsun Chung [REDACTED] Kshitij Golani

Subject: RE: 2018 Regular Reviews: High Risk clients [I]

Classification: For internal use only

Hi Janice –

I have not forgotten about your request ; you will have a file today.

Kind Regards

Adrienne

From: Janice Franklin

Sent: Tuesday, April 10, 2018 11:19 AM

To: Adrienne Bull [REDACTED] Sheffali Welch

Cc: Oliver Esslinger [REDACTED] Wayne Salit

[REDACTED] Yoonsun Chung [REDACTED] Kshitij Golani

Subject: RE: 2018 Regular Reviews: High Risk clients [I]

Hi Adrienne:

I hope all is well. Just a reminder to send us a listing of client names (or KYC #s) that were due for Regular Review at the end of January, February and March 2018.

Thank you so much.

Regards,
Janice P. Franklin

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Janice Franklin, CAMS, CFSA, CFIRS
Vice President | AML Compliance Officer

Deutsche Bank Americas
Regulation, Compliance & Anti-Financial Crime
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

From: Adrienne Bull
Sent: Wednesday, April 04, 2018 5:53 PM
To: Janice Franklin [REDACTED]; Sheffali Welch
[REDACTED]
Cc: Oliver Esslinger [REDACTED]; Wayne Salit
[REDACTED]; Yoonsun Chung [REDACTED]; Kshitij Golani
>
Subject: RE: 2018 Regular Reviews: High Risk clients [I]

Hi Janice

I can put something together to assist you in prioritizing the AFC queue.

Kind regards
Adrienne

[REDACTED]
sent from blackberry work

From: Janice Franklin [REDACTED]

Date: Wednesday, Apr 04, 2018, 7:46 PM

To: Sheffali Welch [REDACTED] Adrienne Bull
[REDACTED]

Cc: Oliver Esslinger [REDACTED] Wayne Salit
[REDACTED] Yoonsun Chung [REDACTED] Kshitij Golani
>

Subject: RE: 2018 Regular Reviews: High Risk clients [I]

Hi Sheffali:

So sorry for the misunderstanding. If available, we would like the names of the clients (or KYC #s) due each month. Such a listing would help us to review those KYCs/client reviews due in January 2018 before we review those due, for example, in March 2018.

Regards,
Janice P. Franklin

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Janice Franklin, CAMS, CFSA, CFIRS
Vice President | AML Compliance Officer

Deutsche Bank Americas
Regulation, Compliance & Anti-Financial Crime
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

From: Sheffali Welch
Sent: Wednesday, April 04, 2018 2:41 PM
To: Janice Franklin [REDACTED] Adrienne Bull
[REDACTED]
Cc: Oliver Esslinger [REDACTED] Wayne Salit
[REDACTED] Yoonsun Chung [REDACTED] Kshitij Golani
[REDACTED]
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Hi Janice,

Below is the schedule of high risk KYCs that are coming due each month through the year. Is this what you are looking for?

Row Labels

1/31/2018

2/28/2018

3/31/2018

4/30/2018

5/31/2018

6/30/2018

7/31/2018

8/31/2018

9/30/2018

10/31/2018

11/30/2018

12/31/2018

Grand Total

High

60

74

44

105

85

80

65

124

71

117

85

79

989

Kind regards,

Sheffali

{cid:800B3086-E6B1-464A-83C1-C22D037DB24E@lan}

Sheffali Welch

Managing Director | COO, Wealth Management Americas

Deutsche Bank Wealth Management

Deutsche Bank Trust Company Americas

345 Park Avenue, New York, NY, USA

Tel: ([REDACTED]

Mobile [REDACTED]

deutschewealth.com

From: Janice Franklin

Sent: Wednesday, April 04, 2018 2:11 PM

To: Adrienne Bull [REDACTED]

Cc: Sheffali Welch [REDACTED]

Oliver Esslinger

Wayne Salit [REDACTED]

oonsun Chung

Kshitij Golani [REDACTED]

Subject: 2018 Regular Reviews: High Risk clients

Hi Adrienne:

For the 2018 Regular Reviews for high risk clients, do you have a listing of the KYCs/clients by due date (i.e., January, February, March)? If so, please send us a list.

Thanks.

Regards,
Janice P. Franklin

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Janice Franklin, CAMS, CFSA, CFIRS
Vice President | AML Compliance Officer

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