

Subject: RE: MD approval required for ACUs completed for High Risk Clients [I]

From: Vaishali-P Mehta <[REDACTED]>
Date: Thu, 18 Aug 2016 17:30:04 -0400
To: Andrew Gallivan <[REDACTED]>
Cc: Mark Gonzalez <[REDACTED]>, Stewart Oldfield <[REDACTED]>, Joseph Sabbagh <[REDACTED]>

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]
Mobil [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]

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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

[REDACTED]

Andrew Gallivan

Gapstow Structured Credit Master Fund LP

[REDACTED]

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

[REDACTED]

Andrew Gallivan

Black, Leon D.

[REDACTED]

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

[REDACTED]

Andrew Gallivan

Granite 1717 Hotel LLC

[REDACTED]

No changes in nature of business

No changes in income-producing activities

Yes

No

No

Stewart Oldfield

[REDACTED]
Andrew Gallivan

J. Epstein Virgin Islands Foundation, Inc

[REDACTED]
Private foundation

investment income

Yes

No

No

Stewart Oldfield

[REDACTED]
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

[REDACTED]

Andrew Gallivan

Jeepers, Inc

[REDACTED]

Jeepers is sub S managing various investments
investment activities, advisory services

Yes

No

No

Stewart Oldfield

[REDACTED]

Andrew Gallivan

Mort, Inc

[REDACTED]

Mort is entity holding shares of private company Jawbone
Holds private investment

No

No

No

Stewart Oldfield

[REDACTED]

Andrew Gallivan

The Haze Trust

[REDACTED]

Investment vehicle

No change

Yes

No

No

Regards,

Vaishali Mehta

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

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