

Subject: RE: 2018 KYC Case Manager [I]
From: Adrienne Bull <[REDACTED]>
Date: Fri, 19 Jan 2018 17:56:56 -0500
To: Terri Sohrab <[REDACTED]>
Vijay-A Sawant <[REDACTED]>
Cc: Cynthia Rodriguez <[REDACTED]>,
Bradley Gillin <[REDACTED]>,
Daphne Cales <[REDACTED]>,
Stewart Oldfield <[REDACTED]>

Classification: For internal use only

Hi Terri –

Please see attached the list of 2018 KYCS.

The attached contains 3 tabs.

1. Tab 1 – Customer Owner = Terri
2. Tab 2 – Customer Owner = Stewart
3. Tab 3 – List of Customers Excluded (Accounts closing and Goldentree)

If you have any questions / would like to discuss please let me know

Kind Regards

Adrienne

From: Terri Sohrab
Sent: Friday, January 19, 2018 12:07 PM
To: Adrienne Bull <[REDACTED]>; Vijay-A Sawant <[REDACTED]>
<[REDACTED]>
Cc: Cynthia Rodriguez <[REDACTED]>; Bradley Gillin
<[REDACTED]>; Daphne Cales <[REDACTED]>; Stewart
Oldfield <[REDACTED]>
Subject: RE: 2018 KYC Case Manager [I]

Adrienne,

Please update our list excluding GoldenTree, as we discussed. Please also provide us with Stew Oldfield's list so we can all be on the same page and move forward.

Thank you,

TS

Terri Sohrab
Managing Director

Deutsche Bank Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154

Securities offered through Deutsche Bank Securities Inc.

From: Adrienne Bull
Sent: Thursday, January 18, 2018 6:38 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Cynthia Rodriguez <[REDACTED]>; Terri Sohrab
<[REDACTED]>; Bradley Gillin <[REDACTED]>; Daphne Cales
<[REDACTED]>
Subject: 2018 KYC Case Manager [I]

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Hi Vijay

In line with the 2018 KYC Target Operation Model, you are being assigned to take on the role of KYC case manager supporting Terri and her team

I have attached a list of the customers that are in scope for KYC in 2018.

As case manager, you are responsible for managing and driving the completion of KYCs, working with the banking team, by the due date defined in the attached (column M in the spreadsheet); ultimate ownership over the KYC remains with the Banker. I have listed key activities below which will require liaising with the banking team, Client On-Boarding and the Research team in Jaipur.

Please note that for those customers where the comments in column P indicate an account is closing / closed, or exclude please confirm with the Terri and her team as a KYC will not need to be performed if closing.

- Paper KYC: Entry of KYC information (from Paper File); prior KYC was performed prior to digitization.

- Case Preparation: Initial KYC updates (already in KYC format) or Enter information in KYC format (if there is not a prior KYC).

- Good Standing Certificate: US Entity – Look on the Secretary of State website; Non US Entity

- Source of Wealth: Document SOW (info obtained from On-line, the client, legal docs, etc.). Provide Summary to Banker / RC to review

- Google Search: Perform a google search on Account Holders and UBOs.

- Due Diligence / Research: PEP, Lexus/Nexus / Negative news (Systems/ DBs used: PCR, RDC, BIS). – submit requests to the Jaipur team and

perform initial review of results (Central Mailbox PWM BIS-Research (pwm.bis-research@db.com))

- Update KYC: Update existing KYC (e.g. when % ownership changes, new signers, etc.)

- Questionnaires: Complete GBSA and Volker Questionnaires. – Liaise with Client on-boarding who complete the questionnaire (Central Mailbox gbsa.wma@db.com). Refer to email attachment.

Please reach out with any questions

Kind Regards

Adrienne

