

Subject: MD approval for ACUs completed for high risk clients [I]  
From: Vaishali-P Mehta <[REDACTED]>  
Date: Fri, 03 Mar 2017 17:34:50 -0500  
To: Andrew Gallivan <andrew.gallivan@db.com>  
Cc: Terrence F Tangney <[REDACTED]>,  
Terri Sohrab <[REDACTED]>,  
Michael S Jacoby <[REDACTED]>,  
Stewart Oldfield <[REDACTED]>,  
Thomas-B Mayer <[REDACTED]>,  
Trevor Spinney <[REDACTED]>,  
Brian P Convey <brian.p.convey@db.com>,  
Joanne Jensen <[REDACTED]>,  
Mary A Coleman <[REDACTED]>

Classification: For internal use only

Dear Andrew,

Below are the ACUs which were completed for High Risk customers this month.

All the below ACUs were completed showing no material changes to the client's circumstances.

Please review the ACU comments, and reply back with your approval.

Annual Client Update: ID

GCIS Customer Number

Customer Name

MD

Annual Client Update: Created Date

A14.

A15. Client Status Update Description

A16.

A17.

Customer Owner

82109

00000481084

Batmasian, James H.

Andrew Gallivan

2/7/2017

No changes to report.

No changes to report. Purpose of the call was for new banker and credit specialist to get background on the relationship.

Yes

No

Rachel Maglicic

81987

00000409100

Black, Leon D.

Andrew Gallivan

2/3/2017

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

Stewart Oldfield

81990

00000486427

J. Epstein Virgin Islands Foundation, Inc

Andrew Gallivan

2/3/2017

Private foundation

investment income

Yes

No

Stewart Oldfield

81991

00000486423

Jeepers, Inc

Andrew Gallivan

2/3/2017

Jeepers is sub S managing various investments

investment activities, advisory services

Yes

No

Stewart Oldfield

81989

00000487266

Mort, Inc

Andrew Gallivan

2/3/2017

Mort is entity holding shares of private company Jawbone

Holds private investment

No

No

Stewart Oldfield

81994

00000486428

The Haze Trust

Andrew Gallivan

2/3/2017

Investment vehicle

No change

Yes

No

Stewart Oldfield

82165

00000489410

Frederic B. Luddy CRT

Andrew Gallivan

2/9/2017

Frederick is founder and senior executive at ServiceNow, a publicly traded information technology company. Fred originally funded the LLC with ServiceNow stock.

No new status update

No

No

Thomas-B Mayer

81647

00000479884

CAGD Holdings Ltd

Andrew Gallivan

1/24/2017

no material changes

no material changes

No

No

Trevor Spinney

82226

00000430894

Penn Services LTD

Andrew Gallivan

2/15/2017

Brian Convey speaks with client quarterly to review account

There are no changes to clients employment status, health or primary residence

No

No

Brian Convey

81933

00000524646

AFSF III AIV-OmegaFi L.P.

Andrew Gallivan

2/1/2017

RE Investment

The account has no assets in it

No

No

Joanne Jensen

81934

00000496055

Aquiline Capital Partners III GP (Offshore) Ltd.

Andrew Gallivan

2/1/2017

The client is a hedge fund.

The client holds \$3MM in secured lending and \$64K in a money market account here at DB.

No

No

Joanne Jensen

81708

00000494253

Aquiline Financial Services Fund III LP

Andrew Gallivan

1/25/2017

This client is a private equity fund of one of our largest clients.

The fund currently has a secured credit facility of \$93MM and \$208K on deposit with DB.

No

No

Joanne Jensen

81818

00000412442

Aquiline Holdings LLC

Andrew Gallivan

1/30/2017

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts.

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts.

No

No

Joanne Jensen

81723

00000411484

Aquiline Holdings LP

Andrew Gallivan

1/25/2017

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts

No

No

Joanne Jensen

81817

00000411484

Aquiline Holdings LP

Andrew Gallivan

1/30/2017

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts

Aquiline maintains its strategy of a private equity investments focusing on financial and insurance industry buyouts

No

No

Joanne Jensen

82169

00000528991

BPP F.1 DE City L.P.

Andrew Gallivan

2/10/2017

Private Equity Investment Vehicle

PE Fund

No

No

Joanne Jensen

82170

00000528989

BPP F.1 DE East Union L.P.

Andrew Gallivan

2/10/2017

Private Equity Investment Vehicle

PE

No

No

Joanne Jensen

82171

00000528990

BPP F.1 DE Southern Palm L.P.

Andrew Gallivan

2/10/2017

PE Investment Fund

PE Investments

No

No

Joanne Jensen

82168

00000528992

BPP F.2 DE City L.P.

Andrew Gallivan

2/10/2017

This is a PE Fund managed by Blackstone.

PE Fund

No

No

Joanne Jensen

82069

00000491332

Casterlirock Holdings, LLC

Andrew Gallivan

2/6/2017

the client holds a \$10MM mortgage for a property in Soho, Manhattan.

In addition to the mortgage, the client has \$55K on deposit with DB to pay operating expenses on the property.

No

No

Joanne Jensen

82065

00000483625

Digital Asset Services LLC

Andrew Gallivan

2/6/2017

This account is owned by the Winklevoss brothers as a private investment account.

the account currently holds approx. \$70K in assets.

No

No

Joanne Jensen

81775

00000465806

Hymowitz, Jenna

Andrew Gallivan

1/26/2017

This client is the daughter of Gregg Hymowitz. The account is a joint checking account with her father.

The account holds minimal assets: ~\$2K

No

No

Joanne Jensen

81709

00000409944

Kalish, Geoffrey

Andrew Gallivan

1/25/2017

Private Equity

Client has approximately \$25MM in investable assets of which DB currently has \$17M. No material changes

No

No

Joanne Jensen

82068

00000485138

Winklevoss IP LLC

Andrew Gallivan

2/6/2017

the client has approx. \$3,600 on deposit.

The entity is created for the sole purpose of holding/investing in patents.

No

No

Joanne Jensen

82067

00000485139

Winklevoss Ventures LLC

Andrew Gallivan

2/6/2017

This account is owned by the Winklevoss brothers as a private investment account.

Currently, minimal assets are on deposit; ~\$10K

No

No

Joanne Jensen

82106

00000499901

WP Private Equity X, Inc.

Andrew Gallivan

2/7/2017

This account is part of a syndicated credit facility. We have a loan in the amount of \$18 mio

Warburg Pincus has invested more than \$58 billion in more than 760 companies in more than 40 countries around the world

No

No

Joanne Jensen

81793

00000471000

Hernstadt, Zoe Claire

Andrew Gallivan

1/26/2017

We have met with Zoe's parents, Bill and Jerene Hernstadt, over the past year. I have also communicated with Zoe email. There are no material changes to report at this time.

We have met with Zoe's parents, Bill and Jerene Hernstadt, over the past year. I have also communicated with Zoe email. There are no material changes to report at this time.

No

No

Liz Payne

82178

00000496153

Alpine Homes, LLC

Andrew Gallivan

2/10/2017

Michael L. DeGeorge is the grandson of the late Florence and Lawrence J. DeGeorge. In addition to inherited family wealth and Trusts, Michael is a Partner and Founder of MDeG Investment Group, LLC. He derives income from business revenues and private investments.

Terrence and Rebecca spoke to Mike on the phone to discuss a cash transfer as well as congratulate him on his new baby girl.

Yes

No

Terrence Tangney

82129

00000459011

Bredesen, Philip

Andrew Gallivan

2/8/2017

Philip Bredesen founded HealthAmerica Corp. in 1975 and sold the business in 1986. After selling his company, Mr. Bredesen ran for Governor of Tennessee and won. Since he made so much money from the sale of his business, when he became Governor, Mr. Bredesen refused a salary. Deutsche Bank does not communicate directly with Mr. Bredesen. All transaction requests and account inquiries are handled through Hirtle, Callaghan & Co.

Discussed the pricing of the loan outstanding

Yes

No

Terrence Tangney

82179

00000489336

DeGeorge, Brooke T.

Andrew Gallivan

2/10/2017

Casey DeGeorge is Peter M DeGeorge's wife. They are parents to Brooke DeGeorge and Payton DeGeorge. We are opening an UTMA for Brooke and Payton which is a distribution from their great grandparents trust (450815 - FLORENCE & LAWRENCE DEGEORGE 2008 IRR TR)

Rebecca spoke with Peter DeGeorge in regards to transactions involving their joint accounts and their children's UGMA accounts.

Yes

No

Terrence Tangney

81995

00000456209

Cerberus Capital Management, L.P.

Andrew Gallivan

2/3/2017

\$60MM deposit on 2/3/16.

Private Equity.

Yes

No

Terri Sohrab

81997

00000493755

Elderberry X, LLC

Andrew Gallivan

2/3/2017

no material changes

no material changes

No

No

Terri Sohrab

82005

00000460090

Function(x) Inc.

Andrew Gallivan

2/3/2017

no material changes

no changes

No

No

Terri Sohrab

82104

00000478687

IDL Wheel Tenant, LLC

Andrew Gallivan

2/7/2017

no material changes.

client would like to open an additional account to deposit rent for this entity.

No

No

Terri Sohrab

82020

00000415485

MJX, LLC

Andrew Gallivan

2/3/2017

no change

No changes

No

No

Terri Sohrab

82022

00000418125

Sea Change Foundation

Andrew Gallivan

2/3/2017

no material changes

no material changes

No

No

Terri Sohrab

82001

00000472894

SFX Entertainment Inc.

Andrew Gallivan

2/3/2017

accounts have closed as of 2/1/2016

accounts have closed as of 2/1/2016

No

No

Terri Sohrab

82019

00000408988

Sillerman, Robert F.X.

Andrew Gallivan

2/3/2017

no material changes

no changes

No

No

Terri Sohrab

82009

00000457803

Sillerman Investment Corporation

Andrew Gallivan

2/3/2017

no changes

no changes

No

No

Terri Sohrab

82014

00000423456

The 2000 Robert and Laura Sillerman Descendants' Trust

Andrew Gallivan

2/3/2017

no changes

no material change

No

No

Terri Sohrab

Please let me know if you have any questions

Regards,

Vaishali Mehta

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

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