

Subject: Inquiry regarding A/C [REDACTED] - PLAN D, LLC, Case 140632 [I]
From: Amlcompliance Inquiries <[REDACTED]>
Date: Tue, 11 Apr 2017 14:59:39 -0400
To: Bradley Gillin <[REDACTED]>,
Cynthia Rodriguez <[REDACTED]>
Cc: Amlcompliance Inquiries <[REDACTED]>,
Stewart Oldfield <[REDACTED]>

Classification: For internal use only

Good afternoon Brad & Cynthia:

I am sending the below request to you both, as I see Stewart Oldfield is out on MTA. Any assistance you can provide would be greatly appreciated.

As a part of the PWM anti-money laundering monitoring program, the PRIME system is used to automatically identify transactions that meet certain high risk transaction patterns. When transactions occur which mimic those patterns, the activity must be researched to confirm that it is legitimate.

In a small percentage of these cases, Compliance must contact the Wealth Advisor for additional information about the account in order to conclude the research process. Your response is required for the Bank to comply with federal guidelines for concluding the research of these matters in a timely fashion. Your complete response must be received within 5 business days.

To the best of your ability, please provide details regarding the item(s) below:

3/31/17 - \$22,500,000 Incoming Wire from BV70 LLC

What is the purpose of the Incoming Wire from BV70 LLC?

What is the relationship between the client and BV70 LLC?

What type of products/services does BV70 LLC provide?

We cannot find any information via internet for BV70 LLC. Please provide resources (physical address, website, etc.) for this entity.

Is activity of this nature expected to continue?

Thank you in advance for your prompt attention to this matter.

Kind regards,

PWM AML Compliance
Deutsche Bank
60 Wall St., 23 Floor
New York, NY 10005 - 2836

Fax: [REDACTED]

PLEASE NOTE: YOU ARE BEING CONTACTED BECAUSE YOU ARE LISTED AS THE PRIMARY OFFICER FOR THIS ACCOUNT. IF YOU ARE NOT THE CURRENT PRIMARY OFFICER, PLEASE LET ME KNOW IMMEDIATELY, SO THAT I MAY FORWARD THIS EMAIL TO THE APPROPRIATE PARTY.

Do not forward this e-mail or any attachment directly to the client.