

Subject: RE: AML Risk Assessment - PRIME DATA NEEDED [I]
From: Ying-A Wang <[REDACTED]>
Date: Thu, 21 Jan 2016 13:55:26 -0500
To: Wayne Salit <[REDACTED]>,
Cherie Quigley <[REDACTED]>
Cc: PWM AMLCompliance <[REDACTED]>

Classification: For internal use only

Wayne,

Please see enclosed for final list of PEP accts by 12/31/15.

Total number: 514

US accounts: 272

Non – US accts: 242

-Ying

From: Wayne Salit
Sent: Wednesday, January 20, 2016 8:53 AM
To: Ying-A Wang; Cherie Quigley
Cc: PWM AMLCompliance
Subject: FW: AML Risk Assessment - PRIME DATA NEEDED [I]
Importance: High

Classification: For internal use only

Ying/Cherie:

Please run a report (as of 12/31/2015) for the Prime system that will indicate:

- The number of Foreign-PEPs; and
- The number of Domestic PEPs

Kim is also seeking information on the number of "High Risk" Industry Accounts.

However, as discussed, there are issues with the quality of the data in this field. If you run this report, make sure to describe the data issues when you provide the information to Kim.

Kind Regards,

Wayne Salit

Deutsche Bank Americas

[REDACTED]

[REDACTED] (ph)

From: Kimberly Hart
Sent: Wednesday, January 20, 2016 7:39 AM
To: Wayne Salit
Cc: Julie Cataudella; Armen Brash; Vaishali-P Mehta; Janice Franklin
Subject: AML Risk Assessment - PRIME DATA NEEDED
Importance: High

1. Domestic PEP Accounts
2. Foreign PEP Accounts
3. High Risk Industry Accounts

Please provide at your earliest convenience. The due date for our data

submission is Friday.

Thanks in advance,

Kim

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Kimberly Hart
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