

Subject: RE: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED], Alert#

[REDACTED] [I]

From: Zbynek Kozelsky [REDACTED]

Date: Fri, 02 Dec 2016 11:23:03 -0500

To: Amlcompliance Inquiries [REDACTED],

Stewart Oldfield <[REDACTED]> ,

Vahe Stepanian <[REDACTED]>

Cc: Joshua Shoshan [REDACTED],

Donald Summer [REDACTED]

Cynthia Rodriguez [REDACTED]

Classification: For internal use only

Just to clarify, the funds came in from client's Private bank account (in house – from DBTCA account/PB into his DBSI account).

Thanks

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{cid:image003.png@01CFFD0A.6F882F50}

Zbynek "Ziggy" Kozelsky  
Director | Branch Administrative Manager

Key Client Partners - Americas  
Deutsche Bank Securities Inc.  
Deutsche Asset & Wealth Management

[REDACTED]  
New York, NY 10154

Tel. [REDACTED]

Email [REDACTED]

All trade execution information contained herein is being provided as an accommodation at your request in advance of your receipt of the official trade confirmation(s). Additional trade detail information available upon request. The terms of the trade(s) may be subject to change prior to settlement, and therefore the official trade confirmation(s) and account statements issued by Deutsche Bank shall govern. Deutsche Bank is not responsible for any discrepancy between the informal execution report and the official trade confirmation(s) or account statements.

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From: Danya Friedman On Behalf Of Amlcompliance Inquiries  
Sent: Friday, December 02, 2016 11:21 AM  
To: Stewart Oldfield; Vahe Stepanian; Zbynek Kozelsky; Amlcompliance Inquiries  
Cc: Joshua Shoshan; Donald Summer; Cynthia Rodriguez  
Subject: RE: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED] Alert# [REDACTED] [I]

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Good Morning and thank you for the quick response. Just to clarify, the below response is only answering my questions regarding the Outgoing Transfers and both of these transfers were towards the purchase of art? We will need the ultimate originator for the Incoming Transfer. Also, once again, just to clarify, we have the KYC on the HAZE TRUST, we need the source of wealth for the beneficiaries if available.

Thanks again! I hope everyone has a great weekend!

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance  
Deutsche Bank

[REDACTED]  
New York, NY 10005 - 2836  
[REDACTED]

From: Stewart Oldfield  
Sent: Friday, December 02, 2016 11:17 AM  
To: Vahe Stepanian <[REDACTED]>; Zbynek Kozelsky  
[REDACTED]; Amlcompliance Inquiries  
[REDACTED]  
Cc: Joshua Shoshan <[REDACTED]>; Donald Summer  
[REDACTED]; Cynthia Rodriguez <[REDACTED]>  
Subject: RE: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED] Alert#  
[REDACTED]

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Cynthia is back Monday and will send all of the docs then. Thanks

From: Vahe Stepanian  
Sent: Friday, December 02, 2016 11:11 AM  
To: Zbynek Kozelsky; Amlcompliance Inquiries  
Cc: Joshua Shoshan; Donald Summer; Stewart Oldfield  
Subject: RE: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED] Alert#  
[REDACTED]

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Adding Stewart Oldfield, primary relationship manager who can confirm the below.

1. What is the purpose of the Outgoing Transfer?

Purchase of Art.

2. What is the relationship between Beneficiary and Client?

Per our conversation with client – the beneficiary in this situation is an escrow account in which the cash will be held until art is delivered.

3. Please provide the source of wealth for these entities.

Stewart – can you please add here the Private Bank KYC, which I believe includes the SOW for this client? Thank you.

Best,

Vahe

From: Zbynek Kozelsky  
Sent: Friday, December 02, 2016 11:03 AM  
To: Amlcompliance Inquiries  
Cc: Vahe Stepanian; Daniel Sabba; Joshua Shoshan; Donald Summer  
Subject: RE: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED] Alert# [REDACTED] [I]

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Vahe,

Please follow up.

Reason – purchase of art.

Thanks

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Zbynek "Ziggy" Kozelsky  
Director | Branch Administrative Manager

Key Client Partners - Americas  
Deutsche Bank Securities Inc.  
Deutsche Asset & Wealth Management

[REDACTED]  
New York, NY 10154

Tel. [REDACTED]

Email [REDACTED]

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From: Danya Friedman On Behalf Of Amlcompliance Inquiries  
Sent: Friday, December 02, 2016 11:01 AM  
To: Zbynek Kozelsky  
Cc: Dcarla Oliveira; Tatiana Dominguez; Maurice Abitbol; Amlcompliance Inquiries  
Subject: Inquiry Regarding THE HAZE TRUST, Account# [REDACTED], Alert# [REDACTED] [I]

Classification: For internal use only

Good Morning:

As a part of the anti-money laundering monitoring program, the Actimize 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 transaction(s) 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 7 business days.

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

Incoming:

10/27/2016, \$6,186,980.68, HSBC SECURITIES SERVICES (IRELAND) DAC at HSBC BANK USA, NATIONAL ASSOCIATION

1. Who is the ultimate originator of these funds (i.e. if this is investment income, please give the name of the investment that the funds originate)?

Outgoing:

11/23/2016, \$25,000,000.00, AP NARROWS HOLDING LP/BMO TRUSTEE at CDEC CLEARING ACCOUNT through BANK OF AMERICA, N.A., NY

11/23/2016, \$5,000,000.00, LDB 2011 LLC/BMO TRUSTEE at CDEC CLEARING ACCOUNT

through BANK OF AMERICA, N.A., NY

1. What is the purpose of the Outgoing Transfer?
2. What is the relationship between Beneficiary and Client?
3. Please provide the source of wealth for these entities.

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

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance  
Deutsche Bank

[REDACTED]  
New York, NY 10005 - 2836  
[REDACTED]

PLEASE NOTE: YOU ARE BEING CONTACTED BECAUSE YOU ARE LISTED AS THE PRIMARY OFFICER FOR THIS ACCOUNT ON GCIS. 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.