
From: Amanda Kirby [REDACTED]
Sent: 11/3/2014 11:31:59 AM
To: AMLCompliance Inquiries [REDACTED]
CC: AMLCompliance Inquiries [REDACTED]; Paul Morris [REDACTED];
[REDACTED]
Subject: Re: Inquiry regarding Acct# 44129914 NEW YORK STRATEGY GROUP, LLC, Case # 118954 [I]

Classification: For internal use only

Please see responses below

Best,
Amanda Kirby



Amanda Kirby

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
[REDACTED]

Passion to Perform

Securities offered through Deutsche Bank Securities Inc.

▼ AMLCompliance Inquiries---10/30/2014 03:12:25 PM---Classification: For internal use only As a part of the PWM anti-money laundering monitoring program,

From: AMLCompliance Inquiries/db/dbcom
To: Amanda Kirby/db/[REDACTED]
Co: Paul Morris/db/[REDACTED], AMLCompliance Inquiries/db/[REDACTED]
Date: 10/30/2014 03:12 PM
Subject: Inquiry regarding Acct# 44129914 NEW YORK STRATEGY GROUP, LLC, Case # 118954 [I]

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As a part of the PWM anti-money laundering monitoring program, the PRIME system is used to automatically identify accounts that exceed pre-defined profile levels for transaction volume and/or transaction amounts each month. When profile levels are exceeded, the account 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 7 business days.