

Message

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**From:** Kshitij Golani [/o=EXCHANGE/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=golaksh02d]  
**on behalf of** Kshitij Golani  
**Sent:** 7/5/2017 6:33:15 PM  
**To:** Cynthia Rodriguez [/o=EXCHANGE/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=rodrcyn8ec]  
**CC:** PWMUS AMLKYC [/o=EXCHANGE/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=amlkpw-gxs284]  
**Subject:** CLEARED: RDC Alert Richard Kahn [I]  
**Attachments:** Richard Kahn (RDC Alert).pdf; Richard Kahn (search).pdf; Richard Kahn Clearance.pdf

Classification: **For internal use only**

Hi Cynthia,

AML Compliance has reviewed the attached RDC alerts and agrees with your assessment that these have been previously cleared. However, just to add to the reasons provided for the clearance of the alerts, based on external sources, the middle initial of our client's trustee is "D". The subject in alert 1 has a middle name of "Paul" and the subject in alert 2 has a middle name of "Jeffrey". Based on the reasons listed in the clearance email combined with the above findings, AML compliance clears these alerts as false positive.

Thanks



Kshitij Golani (K.G.), CAMS  
Vice President | AML Compliance Officer

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**From:** Cynthia Rodriguez  
**Sent:** Friday, June 30, 2017 10:03 AM  
**To:** PWMUS AMLKYC [REDACTED]  
**Subject:** RDC Alert Richard Kahn

Dear AML Compliance,

Attached is an RDC alert for Richard Kahn, appearing on the NY stock exchange disciplinary actions. I believe this alert has previously been cleared. Please see attached clearance and provide updated clearance. Thank you.

Kind regards,

Cynthia Rodriguez

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EFTA01255359



**Cynthia Rodriguez**  
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