

Subject: CLEARED: Richard Kahn rdc and pcr alert [I]
From: PWMUS AMLKYC <[REDACTED]>
Date: Fri, 14 Nov 2014 11:24:18 -0500
To: Amanda Kirby <[REDACTED]>
Cc: PWMUS AMLKYC <[REDACTED]>

Classification: For internal use only

Hi Amanda:

AML Compliance has reviewed the attached RDC and PCR alerts dated 11/13/2014 for Mr. Kahn. The alerts reference the same incident that AML Compliance provided clearance for on 11/1/2013. As such, that same clearance is applicable to the current search results. I have attached it for your review. Please let us know if you need anything further.

(See attached file: Richard Kahn Clearance.pdf)

Kind Regards,
MC

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Monifa Crawford, JD
Associate | AML Compliance Officer

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----- Forwarded by Monifa Crawford/db/dbcom on 11/14/2014 11:17 AM -----

From: Amanda Kirby/db/dbcom
To: PWMUS AMLKYC/db/dbcom@DBAmericas,
Cc: PWM BIS-Research/db/dbcom@DBAPAC
Date: 11/14/2014 10:58 AM
Subject: Fw: Richard Kahn rdc and pcr alert [I]

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This search was requested to a date range beginning in September of 2013. This alert is prior to 2013 and was previously cleared. Please see the attached clearance below and if there is any further action necessart

(See attached file: Richard Kahm Email Confirmation for Compliance.pdf) (See attached file: Richard Kahn RDC Alert CLEARANCE 2013.pdf)

Best,
Amanda Kirby

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Amanda Kirby

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Deutsche Asset & Wealth Management
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Tel. [REDACTED]
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Securities offered through Deutsche Bank Securities Inc.
----- Forwarded by Amanda Kirby/db/dbcom on 11/14/2014 10:52 AM -----

From: PWM BIS-Research/db/dbcom@DBAPAC

To: Amanda Kirby/db/dbcom@DBAMERICAS,

Cc: PWMUS AMLKYC/db/dbcom@DBAmericas

Date: 11/14/2014 10:08 AM

Subject: Richard Kahn rdc and pcr alert [I]

Classification: For internal use only

EFTA01403736

Hello

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue.

Include copies of all responses along with your KYC.

(See attached file: Richard Kahn pcr alert.pdf) (See attached file: Richard Kahn pcr alert_1.pdf) (See attached file: Richard Kahn rdc alert.pdf) (See attached file: Richard Kahn rdc alert_1.pdf)

Regards
Urvashi