

Subject: FW: KYC List [I]
From: Andrew Gallivan <[REDACTED]>
Date: Fri, 09 Jun 2017 15:41:43 -0400
To: Samantha Harmon <[REDACTED]>

Classification: For internal use only

From: Daphne Cales
Sent: Friday, June 09, 2017 2:04 PM
To: Andrew Gallivan
Subject: RE: KYC List [I]

Classification: For internal use only

This was what the email said:

Good morning.

Per the new global KYC policy a remediation project has been initiated to update KYCs for all clients identified as "High and Moderate" risk, and will eventually include "Low" risk as well.

Attached you will find a list of your clients that are either due or coming due this year. My team will be assisting with the initial task of confirming that we have the basic information, including IDs, SSN, TINs and launching research requests on the last known parties.

Once that is complete we will forward directly to the RCs/ROs for their review. They will need to reach out to the client for any missing information and confirmation that there has not been any material changes. It is imperative that this is done as quickly as possible. If there are any on the list that you have already done or would like to complete yourself due to any sensitive information please let me know.

Feel free to contact me with any questions or concerns.

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1 212 250-6535
Fax +1 212 454-9719
Mobile +1 [REDACTED]
Email [REDACTED]

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Andrew Gallivan
Sent: Friday, June 09, 2017 1:52 PM
To: Daphne Cales <[REDACTED]>; Sheffali Welch
<[REDACTED]>
Subject: RE: KYC List [I]

Classification: For internal use only

I should get the list for the NY bankers

From: Daphne Cales
Sent: Friday, June 09, 2017 1:47 PM
To: Andrew Gallivan; Sheffali Welch

Subject: RE: KYC List [I]

Classification: For internal use only

Andrew,

Would you like the lists for all bankers or just US Onshore? I will send under separate email as Sheffali has them already. I will also send you the email verbiage that was sent to them.

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1 212 250-6535
Fax +1 212 454-9719
Mobile +1 [REDACTED]
Email [REDACTED]

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Andrew Gallivan
Sent: Friday, June 09, 2017 12:55 PM
To: Sheffali Welch <[REDACTED]>
Cc: Daphne Cales <[REDACTED]>
Subject: RE: KYC List [I]

Classification: For internal use only

Full list

From: Sheffali Welch
Sent: Friday, June 09, 2017 12:38 PM
To: Andrew Gallivan
Cc: Daphne Cales
Subject: RE: KYC List [I]

Classification: For internal use only

Daphne,

Can you please send Andrew a sample or a list of NYC?

Andrew – would you like the full file or just a sample? Each banker received their list of upcoming KYCs for the year, as mentioned in the senior banker meeting.

Kind regards,

Sheffali

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Sheffali Welch
Chief Operating Officer, Wealth Management Americas

Deutsche Bank Trust Company Americas
345 Park Avenue, New York, NY, USA
Tel. +1 212 250-1316
Mobile +1 [REDACTED]

Email [REDACTED]

From: Andrew Gallivan
Sent: Friday, June 09, 2017 12:24 PM
To: Sheffali Welch <[REDACTED]>
Subject: KYC List [I]

Classification: For internal use only

Sheffali,

I am beginning to get questions as to the list of KYC's that bankers got today. I did not see what has been provided can you have someone send me the information for the NY Bankers along with whatever instructions/-directions were provided?

Thanks,

Andrew

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Andrew Gallivan
Managing Director

Deutsche Bank Trust Company Americas
Global Products & Solutions
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1 212 454-2369
Fax +1 646 502-4407
Mobile +1 [REDACTED]
Email [REDACTED]

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

