

Subject: Re: FW: FW: Fw: 2014 AML KYC Audit [I]
From: Ying-A Wang <[REDACTED]>
Date: Wed, 17 Sep 2014 17:41:22 -0400
To: Jonathan Cheng <[REDACTED]>
Cc: Cherie Quigley <[REDACTED]>,
Matthew Germond <[REDACTED]>,
Wayne Salit <[REDACTED]>

Classification: For internal use only

Johnathan,

Enclosed please find relevant files for alert, case, and PCS alert assignments.
(See attached file: Monthly Case Assignments.xlsx)(See attached file: Alert Assignments Sep13-Jul14.xlsx)(See attached file: Audit Actimize Alerts Sep13-Jul14.xlsx)

Kind regards,
Ying Wang

Ying Wang
Wealth Management AML

Deutsche Bank Trust Company Americas
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

{Inactive hide details for Jonathan Cheng---09/17/2014 05:38:50 PM---
Classification: For internal use only Ying,}Jonathan Cheng---09/17/2014
05:38:50 PM---Classification: For internal use only Ying,

From:

Jonathan Cheng/ext/dbcom@DBC0EX

To:

Ying-A Wang/db/dbcom@DBAMERICAS,

Cc:

Wayne Salit/db/dbcom@DBAMERICAS, Cherie Quigley/db/dbcom@DBAMERICAS, Matthew Germond/db/dbcom@DBAMERICAS

Date:

09/17/2014 05:38 PM

Subject:

FW: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only
Ying,

Please provide me with the below deliverable you sent to Pradeepta so I can record appropriately in the AML Compliance files. As mentioned previously, I've been asked to coordinate all requests and deliveries between the Audit team and AML Compliance. Please send all request responses to me and I will forward to Audit. Thank you in advance for your assistance and cooperation.

John

From: Pradeepta Roy
Sent: Wednesday, September 17, 2014 5:27 PM
To: Ying-A Wang
Cc: Cherie Quigley; Wayne Salit; Jonathan Cheng
Subject: Re: FW: Fw: 2014 AML KYC Audit [I]
Classification: For internal use only

Thank you very much Ying.

Kind regards,
Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

Deutsche Bank AG, Filiale New York

EFTA01402879

GA-Legal, Compliance, GRAD, HR, Co-Chairmen
60 Wall Street, 32nd Floor
New York, NY 10005-2836
USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Ying-A Wang---09/17/2014 05:16:06 PM---
Classification: For internal use only Pradeepta, Enclosed plea}Ying-A
Wang---09/17/2014 05:16:06 PM---Classification: For internal use only
Pradeepta, Enclosed please find alert and case assignments for

{cid:image001.png@01CFD29D.9F331FE0} From:
{cid:image002.png@01CFD29D.9F331FE0}
Ying-A Wang/db/dbcom
{cid:image001.png@01CFD29D.9F331FE0} To:
{cid:image002.png@01CFD29D.9F331FE0}
Pradeepta Roy/db/dbcom@DBAMERICAS,
{cid:image001.png@01CFD29D.9F331FE0} Cc:
{cid:image002.png@01CFD29D.9F331FE0}
Cherie Quigley/db/dbcom@DBAMERICAS, Wayne Salit/db/dbcom@DBAMERICAS
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09/17/2014 05:16 PM
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{cid:image002.png@01CFD29D.9F331FE0}
Re: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Pradeepta,

Enclosed please find alert and case assignments for scope range requested
for PRIME and PCS. Thank you.

[attachment "Audit Actimize Alerts Sep13-Jul14.xlsx" deleted by Pradeepta
Roy/db/dbcom] [attachment "Alert Assignments Sep13-Jul14.xlsx" deleted by
Pradeepta Roy/db/dbcom] [attachment "Monthly Case Assignments.xlsx" deleted
by Pradeepta Roy/db/dbcom]

Kind regards,
Ying Wang

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Ying Wang
Wealth Management AML

Deutsche Bank Trust Company Americas
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Pradeepta Roy---09/16/2014 05:57:35 PM---
Classification: For internal use only That's fine.}Pradeepta
Roy---09/16/2014 05:57:35 PM---Classification: For internal use only That's
fine. {cid:image001.png@01CFD29D.9F331FE0} From:
{cid:image002.png@01CFD29D.9F331FE0}
Pradeepta Roy/db/dbcom
{cid:image001.png@01CFD29D.9F331FE0} To:
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Ying-A Wang/db/dbcom@DBAMERICAS,
{cid:image001.png@01CFD29D.9F331FE0} Cc:
{cid:image002.png@01CFD29D.9F331FE0}
Cherie Quigley/db/dbcom@DBAMERICAS, Wayne Salit/db/dbcom@DBAMERICAS
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09/16/2014 05:57 PM
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{cid:image002.png@01CFD29D.9F331FE0}
Re: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

That's fine.

Thank you,

Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

Deutsche Bank AG, Filiale New York
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USA

Tel. [REDACTED]

Fax [REDACTED]

Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Ying-A Wang---09/16/2014 05:56:29 PM---
Classification: For internal use only Pradeepta, Can we get th}Ying-A
Wang---09/16/2014 05:56:29 PM---Classification: For internal use only
Pradeepta, Can we get the spreadsheets to you EOD tomorrow?

{cid:image001.png@01CFD29D.9F331FE0} From:

{cid:image002.png@01CFD29D.9F331FE0}

Ying-A Wang/db/dbcom

{cid:image001.png@01CFD29D.9F331FE0} To:

{cid:image002.png@01CFD29D.9F331FE0}

Pradeepta Roy/db/dbcom@DBAMERICAS,

{cid:image001.png@01CFD29D.9F331FE0} Cc:

{cid:image002.png@01CFD29D.9F331FE0}

Cherie Quigley/db/dbcom@DBAMERICAS, Wayne Salit/db/dbcom@DBAMERICAS

{cid:image001.png@01CFD29D.9F331FE0} Date:

{cid:image002.png@01CFD29D.9F331FE0}

09/16/2014 05:56 PM

{cid:image001.png@01CFD29D.9F331FE0} Subject:

{cid:image002.png@01CFD29D.9F331FE0}

Re: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

EFTA01402882

Pradeepta,

Can we get the spreadsheets to you EOD tomorrow?

-Ying

{Inactive hide details for Pradeepta Roy---09/16/2014 05:44:58 PM---
Classification: For internal use only I apologize for that Y}Pradeepta
Roy---09/16/2014 05:44:58 PM---Classification: For internal use only I
apologize for that Ying. Regarding the spreadsheets, the aud
{cid:image001.png@01CFD29D.9F331FE0} From:
{cid:image002.png@01CFD29D.9F331FE0}
Pradeepta Roy/db/dbcom
{cid:image001.png@01CFD29D.9F331FE0} To:
{cid:image002.png@01CFD29D.9F331FE0}
Ying-A Wang/db/dbcom@DBAMERICAS,
{cid:image001.png@01CFD29D.9F331FE0} Cc:
{cid:image002.png@01CFD29D.9F331FE0}
Cherie Quigley/db/dbcom@DBAMERICAS, Wayne Salit/db/dbcom@DBAMERICAS
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09/16/2014 05:44 PM
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{cid:image002.png@01CFD29D.9F331FE0}
Re: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

I apologize for that Ying. Regarding the spreadsheets, the audit scope date range is September 1, 2013 to July 31, 2014.

Kind regards,
Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

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Fax [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Ying-A Wang---09/16/2014 03:09:23 PM---
Classification: For internal use only Hi Pradeepta, I believe}Ying-A
Wang--09/16/2014 03:09:23 PM---Classification: For internal use only Hi
Pradeepta, I believe Wayne sent you manuals for WM on 9/11.
{cid:image001.png@01CFD29D.9F331FE0} From:
{cid:image002.png@01CFD29D.9F331FE0}
Ying-A Wang/db/dbcom
{cid:image001.png@01CFD29D.9F331FE0} To:
{cid:image002.png@01CFD29D.9F331FE0}
Pradeepta Roy/db/dbcom@DBAMERICAS,
{cid:image001.png@01CFD29D.9F331FE0} Cc:
{cid:image002.png@01CFD29D.9F331FE0}
Wayne Salit/db/dbcom@DBAMERICAS, Cherie Quigley/db/dbcom@DBAMERICAS
{cid:image001.png@01CFD29D.9F331FE0} Date:
{cid:image002.png@01CFD29D.9F331FE0}
09/16/2014 03:09 PM
{cid:image001.png@01CFD29D.9F331FE0} Subject:
{cid:image002.png@01CFD29D.9F331FE0}
Re: FW: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hi Pradeepta,

I believe Wayne sent you manuals for WM on 9/11. As for the spreadsheets,
what audit scope date range do you need the data from?

Also, from now on, please send correspondence to [REDACTED].
[REDACTED] is a different person.

-Ying

{Inactive hide details for Ying Wang---09/16/2014 02:29:14 PM---Guess it is yours... J}Ying Wang---09/16/2014 02:29:14 PM---Guess it is yours... J
{cid:image001.png@01CFD29D.9F331FE0} From:
{cid:image002.png@01CFD29D.9F331FE0}
Ying Wang/db/dbcom@DBC0EX
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{cid:image002.png@01CFD29D.9F331FE0}
Ying-A Wang/db/dbcom@DBAMERICAS,
{cid:image001.png@01CFD29D.9F331FE0} Date:
{cid:image002.png@01CFD29D.9F331FE0}
09/16/2014 02:29 PM
{cid:image001.png@01CFD29D.9F331FE0} Subject:
{cid:image002.png@01CFD29D.9F331FE0}
FW: Fw: 2014 AML KYC Audit [I]

Guess it is yours... J

Regards,

Peter Wang

From: Pradeepta Roy
Sent: Tuesday, September 16, 2014 14:24
To: Ying Wang
Cc: Cherie Quigley; Wayne Salit
Subject: Re: Fw: 2014 AML KYC Audit [I]
Classification: For internal use only

Hi Ying:

Hope all is well. At your earliest convenience, please provide me an update on the information requested below.

Kind regards,
Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

Deutsche Bank AG, Filiale New York
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60 Wall Street, 32nd Floor
New York, NY 10005-2836
USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Pradeepta Roy---09/08/2014 12:52:28 PM---
Classification: For internal use only Hi Ying: Presently, I}Pradeepta
Roy---09/08/2014 12:52:28 PM---Classification: For internal use only Hi
Ying: Presently, I will be the main point of contact. Pleas

{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} From:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Pradeepta Roy/db/dbcom
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} To:
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Ying-A Wang/db/dbcom@DBAMERICAS,
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Cc:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Cherie Quigley/db/dbcom@DBAMERICAS, Christy Wolanski/db/dbcom@DBAMERICAS,
Michael Greiche/db/dbcom@DBAMERICAS, Yang-A Chen/db/dbcom@DBAMERICAS
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Date:
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{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Re: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hi Ying:

Presently, I will be the main point of contact. Please provide the
spreadsheets and relevant KOPs by next Tuesday, 9/16.

Much appreciated,

Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

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60 Wall Street, 32nd Floor
New York, NY 10005-2836
USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Ying-A Wang---09/08/2014 12:20:29 PM---
Classification: For internal use only Hi Pradeepta, I'm sorry}Ying-A
Wang---09/08/2014 12:20:29 PM---Classification: For internal use only Hi
Pradeepta, I'm sorry to hear that about Rachael, will you b {cid:-
5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} From:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Ying-A Wang/db/dbcom
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Pradeepta Roy/db/dbcom@DBAMERICAS,
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Cc:
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Cherie Quigley/db/dbcom@DBAMERICAS, Christy Wolanski/db/dbcom@DBAMERICAS,
Michael Greiche/db/dbcom@DBAMERICAS, Yang-A Chen/db/dbcom@DBAMERICAS
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{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Re: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hi Pradeepta,

I'm sorry to hear that about Rachael, will you be my point of contact from now on?

We will be able to provide you a the spreadsheet you requested. When do you need this by?

Thank you.

-Ying

{Inactive hide details for Pradeepta Roy---09/08/2014 11:36:51 AM---
Classification: For internal use only Hi Yang: Regarding PB}Pradeepta
Roy---09/08/2014 11:36:51 AM---Classification: For internal use only Hi
Yang: Regarding PB Alerts, Cases, and PCS Alerts, are you a {cid:-
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Pradeepta Roy/db/dbcom
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} To:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Yang-A Chen/db/dbcom@DBAMERICAS,
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Cherie Quigley/db/dbcom@DBAMERICAS, Ying-A Wang/db/dbcom@DBAMERICAS, Christy
Wolanski/db/dbcom@DBAMERICAS, Michael Greiche/db/dbcom@DBAmericas
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09/08/2014 11:36 AM
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Subject:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Re: Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hi Yang:

Regarding PB Alerts, Cases, and PCS Alerts, are you able to provide a spreadsheet that reflect all alerts/cases generated as well as a spreadsheet that reflects the ones that were sampled?

Please advise.

Kind regards,
Pradeepta

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Pradeepta Roy
Vice President | Group Audit

Deutsche Bank AG, Filiale New York
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Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

{Inactive hide details for Yang-A Chen---09/08/2014 08:49:08 AM---
Classification: For internal use only Hi Rachael, Pradeepta, W}Yang-A
Chen---09/08/2014 08:49:08 AM---Classification: For internal use only Hi
Rachael, Pradeepta, We do a sampling of a majority of our P {cid:-
5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} From:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
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Rachael Natale/db/dbcom@DBAMERICAS, Pradeepta Roy/db/dbcom@DBAMERICAS,
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Ying-A Wang/db/dbcom@DBAMERICAS, Cherie Quigley/db/dbcom@DBAMERICAS, Wayne
Salit/db/dbcom@DBAMERICAS
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Date:
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{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Subject:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hi Rachael, Pradeepta,

We do a sampling of a majority of our PCS and PB Alerts, and we review about 1/4-1/5 of PB cases generated. We have PB Alerts, Cases, and PCS Alerts.

Do you want a spreadsheet with all Alerts/cases generated (some of which could be auto closed)? or just the ones sampled.

This is also my last week at DB so please refer all further requests to Ying and Cherie (she will be stepping into Clarissa's role)

Kind regards,

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Yang Chen
AVP | Wealth Management AML

Deutsche Bank Securities Inc.
37th Floor, 60 Wall Street, 10005
New York, NY, USA
Tel. +1(212)250-7935
Email yang-a.chen@db.com

{cid:2__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

----- Forwarded by Yang-A Chen/db/dbcom on 09/08/2014 08:45 AM ----- {cid:-
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Wayne Salit/db/dbcom
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} To:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Rachael Natale/db/dbcom@DBAMERICAS, Pradeepta Roy/db/dbcom@DBAMERICAS,
{cid:5__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com} Cc:
{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Yang-A Chen/db/dbcom@DBAMERICAS, Ying-A Wang/db/dbcom@DBAMERICAS
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{cid:6__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}
Fw: 2014 AML KYC Audit [I]

Classification: For internal use only

Hello Rachael -

Thanks for the notice, but both Ying Wang and Yang Chen are out of the office until Monday, September 8.

One or both of them will get back to you on Monday.

Kind regards,
Wayne Salit

{cid:1__=0ABBF7C5DFE634F18f9e8a93df9386909@db.com}

Wayne Salit

Deutsche Bank Securities Inc.
60 Wall Street, 10005-2836 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

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Rachael Natale/db/dbcom
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09/04/2014 04:28 PM
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2014 AML KYC Audit [I]

Classification: For internal use only

Hi, I am part of the AWM audit team and I will be reviewing the transaction monitoring for the PWM businesses (PB and PCS). I would like to have a walkthrough sometime early next week including both of you if possible. Please let me know if your calendars are up to date so that I may schedule a meeting.

In addition, I would like to begin selecting my sample for testing. Can you please provide the following:

- all alerts for the PCS business from Aug 2013 through Aug 2014
- all alerts for the PB business from Aug 2013 through Aug 2014

Thanks and look forward to meeting with you!

Kind regards,
Rachael Natale

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