

Subject: Re: Fw: [REDACTED] rdc alert [I]  
From: PWMUS AMLKYC [REDACTED]  
Date: Wed, 09 Oct 2013 15:48:57 -0400  
To: Amanda Kirby [REDACTED]  
Cc: PWMUS AMLKYC [REDACTED],  
Jacqueline Lightbody [REDACTED]

Classification: For internal use only

Hi Amanda,

AML Compliance reviewed the attached PCR alerts dated 10/9/2013 relating to [REDACTED]. The alert pertains to the wife of a former [REDACTED]. According to the business, our client is in her early 30's and lives in NYC; whereas, the alert pertains to a [REDACTED] that is in her 60's and lives in Wisconsin. Accordingly, AML Compliance CLEARS this alert as a false positive.

Kind regards,  
Andrew Kisz

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Andrew Kisz  
Associate | AML Compliance Officer

DB Services New Jersey, Inc.  
Asset & Wealth Management  
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA  
Tel. [REDACTED]  
Email [REDACTED]

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From: Amanda Kirby/db/dbcom

To: PWMUS AMLKYC/db/dbcom@DBAmericas,

Cc: Andrew Kisz/db/dbcom@DBAMERICAS, Jacqueline Lightbody/db/dbcom@DBAMERICAS, Paul Morris/db/dbcom@DBAMERICAS

Date: 10/08/2013 12:42 PM

Subject: Fw: [REDACTED] rdc alert [I]

Classification: For internal use only

Hi,

This PCR alert does not pertain to our client. This [REDACTED] is in her 60's and lives in Wisconsin. Our [REDACTED] is in her early 30's and lives in NYC. Please clear alert

Best,  
Amanda Kirby

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Amanda Kirby  
Associate

Deutsche Bank Trust Company Americas  
345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004  
Tel. [REDACTED]  
Fax + [REDACTED]  
Email [REDACTED]

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----- Forwarded by Amanda Kirby/db/dbcom on 10/08/2013 12:39 PM -----

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

To: Amanda Kirby/db/dbcom@DBAMERICAS,

Cc: PWMUS AMLKYC/db/dbcom@DBAmericas

Date: 10/08/2013 10:00 AM

Subject: [REDACTED] rdc alert [I]

Classification: For internal use only

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: [REDACTED] pcr alert.pdf) (See attached file: [REDACTED]  
[REDACTED] pcr alert\_1.pdf)

Regards  
Urvashi