

Subject: CLEARED_Neptune, LLC [I]
From: PWMUS AMLKYC <[REDACTED]>
Date: Tue, 08 Oct 2013 10:26:59 -0400
To: Amanda Kirby <[REDACTED]>
Cc: PWMUS AMLKYC <[REDACTED]>, Jacqueline Lightbody <[REDACTED]>

Classification: For internal use only

Hi Amanda,

AML Compliance reviewed the RDC alert dated 10/02/2013 pertaining to Neptune, LLC. Our client is a Virgin Islands Company that is incorporated as an LLC. This alert pertains to a boat registered in Tanzania with an alias of "Neptune", which appears on the OFAC list. Accordingly, AML Compliance CLEARS this alert as a false positive.

Kind regards,
Andrew Kisz

(Embedded image moved to file: pic27242.gif)

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]

(Embedded image moved to file: pic04410.gif)

From: Amanda [REDACTED]
To: PWMUS [REDACTED],
Cc: Michael [REDACTED], Andrea [REDACTED], Paul Morris/
[REDACTED]
Date: 10/02/2013 04:27 PM
Subject: Fw: RDC ALERT - Neptune, LLC [I]

Classification: For internal use only

Hi,
Attached is an RDC Alert associated with Neptune, LLC. This alert pertains to a boat registered in Tanzania with an alias of "Neptune". The Neptune, LLC we are dealing with is an LLC based in St. Thomas, USVI. The RDC Alert is not for our client. Please approve that it be cleared

Best,
Amanda Kirby

(Embedded image moved to file: pic30959.gif)

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]

(Embedded image moved to file: pic07055.gif)

----- Forwarded by Amanda [REDACTED] on 10/02/2013 04:24 PM -----

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

To: [REDACTED],

Cc: PWMUS [REDACTED]

Date: 10/02/2013 04:20 PM

Subject: RDC ALERT - Neptune, LLC [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: Neptune, LLC_RDC Alert.pdf)

Thanks,
Ahsan Manzoor