

Subject: FW: FinCEN CDD Rule; Customer Mailing
From: Stewart Oldfield <[REDACTED]>
Date: Mon, 11 Jun 2018 11:10:13 -0400
To: Bradley Gillin <[REDACTED]>
Cc: Rodney Macelus <[REDACTED]>

Let's remove Jockey Club, Southern and Third Lake. We're already taking care of the first two. Please reach out to Tebbi for Third Lake

From: Anna-Sofiya Lupolover
Sent: Monday, June 11, 2018 11:09 AM
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>; Terri Sohrab <[REDACTED]>; Rodney Macelus <[REDACTED]>
Subject: RE: FinCEN CDD Rule; Customer Mailing

Hi Team,

If there are any updates to your list, please provide them by EOD. If I do not hear from you, all letters will be addressed to "Dear Client" and the contact person will be the customer owner for each. Thanks!

Kind Regards,

Anna-Sofiya

{cid:3__=0ABBF755DFDBA10A8f9e8a93df9386909@db.com}

Anna-Sofiya Lupolover

Assistant Vice President

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From: Anna-Sofiya Lupolover

Sent: Monday, June 04, 2018 6:21 PM

To: Bradley Gillin <bradley.gillin@db.com>; Stewart Oldfield

< [REDACTED] >; Terri Sohrab < [REDACTED] >; Hildegarde Berrios < [REDACTED] >

Subject: FW: FinCEN CDD Rule; Customer Mailing

Hi Team,

Please find your in-scope client list below. Addresses were pulled from various locations, primarily from FIS (if the client has a banking account), then from Net X (if the client has a brokerage account), and then from DB Force (if the client has neither). First, please VALIDATE the address populated. Then, if you would like to, please provide a personalized salutation in column L – if you do not provide one, the letter will be addressed “Dear Client.” Lastly, if you would like someone other than the RM to be listed as the contact on the letter, please delegate a contact name and phone # in column M and N.

If you have already requested the FinCEN form from any clients in the list, please let me know, and I will remove them from this mailing.

Thank you!

Kind Regards,

Anna-Sofiya

{cid:3__=0ABBF755DFDBA10A8f9e8a93df9386909@db.com}

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From: Armen Brash [mailto:armen.brash@db.com]

Sent: Monday, June 04, 2018 4:06 PM

To: [REDACTED]; Michael Lantz
[REDACTED]; Roy Kasakove [REDACTED]; Michel Plut
[REDACTED]; Catherine M Oconnor [REDACTED]; Dan
Peterson [REDACTED]; James Donofrio [REDACTED]
Edward Golden [REDACTED]; Nora Heaton [REDACTED]
Brandi Goldenberg [REDACTED]; Janice M Smith
[REDACTED]; Janet A McGrath [REDACTED]; Donna G
Mitchell [REDACTED]; Sequana Beale [REDACTED];
Carolyn Magliaro [REDACTED]
Cc: Olivier Poncet [REDACTED]; Andrew Gallivan
[REDACTED]; David Wolkenbrod [REDACTED]; Scott
Guest [REDACTED]; Felipe Godard [REDACTED]; Janet
Morales [REDACTED]; Sheffali Welch [REDACTED];
Charles Hoffarth [REDACTED]
Subject: FinCEN CDD Rule; Customer Mailing

Hello Everyone,

As you all know by now, the FinCEN CDD Rule went live last month. We are required to obtain the CDD Form for all new account openings, as well as for KYC updates (including both Periodic Reviews and Event Driven Reviews).

EFTA01413926

We will be doing a central mailing to all of your customers with a KYC Periodic Review due in 2018. The mailing will include the attached cover letter , a copy of the CDD Form and an addressed postage paid envelope.

You will receive the list of your clients who will receive this mailing shortly.

In order to move forward with this mailing, we will need a couple of things from you:

1. You have the opportunity to provide a salutation for the letter. This is not required—if you don't wish to provide one, the letter will sent to "Client"
2. You also have the opportunity to designate a contact person from your team that we will include in the letter. If you do not designate someone, we will include the name of the Relationship Manager from dbforce and his/her phone number.
3. We have taken the statement address from FIS for all customers with deposit accounts; where there is no deposit account, we are using the legal or mailing address from dbforce. If you know this won't be correct for your client please let Anna know.

Anna is maintaining the master mail merge spreadsheet— in the next few days, she or I will reach out to you and your teams to complete the mail merge file.

We are hoping to send the letter out by June 15th, which means we need to have this finalized by the end of this week.

If you have any questions or concerns with this, please let me know.

Best,
Armen

{cid:800B3086-E6B1-464A-83C1-C22D037DB24E@lan}

Armen Brash

Director

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