

Subject: CLEARED: RDC Alert Richard Kahn [I]
From: Kshitij Golani <[REDACTED]>
Date: Wed, 05 Jul 2017 14:33:17 -0400
To: Cynthia Rodriguez <[REDACTED]>
Cc: PWMUS AMLKYC <[REDACTED]>

Classification: For internal use only

Hi Cynthia,

AML Compliance has reviewed the attached RDC alerts and agrees with your assessment that these have been previously cleared. However, just to add to the reasons provided for the clearance of the alerts, based on external sources, the middle initial of our client's trustee is "D". The subject in alert 1 has a middle name of "Paul" and the subject in alert 2 has a middle name of "Jeffrey". Based on the reasons listed in the clearance email combined with the above findings, AML compliance clears these alerts as false positive.

Thanks

{cid:image002.png@01D2F599.DD2C8710}

Kshitij Golani (K.G.), CAMS
Vice President | AML Compliance Officer

Deutsche Bank
60 Wall Street, 10005-2836 New York, NY, USA
[REDACTED]

From: Cynthia Rodriguez
Sent: Friday, June 30, 2017 10:03 AM
To: PWMUS AMLKYC <[REDACTED]>
Subject: RDC Alert Richard Kahn

Dear AML Compliance,

Attached is an RDC alert for Richard Kahn, appearing on the NY stock exchange disciplinary actions. I believe this alert has previously been cleared. Please see attached clearance and provide updated clearance. Thank you.

Kind regards,

Cynthia Rodriguez

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Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA
[REDACTED]