

Subject: RE: ACTION REQUIRED: Issue related to ACUs [I]  
From: Jj Litchford <[REDACTED]>  
Date: Tue, 27 Oct 2015 11:14:42 -0400  
To: Paul Morris <[REDACTED]>,  
Amanda Kirby <[REDACTED]>

Classification: For internal use only

Yes, I did them right away and let Armen know.

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JJ Litchford  
Associate Banker

Deutsche Bank Trust Company Americas  
Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154  
Tel. [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

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From: Paul Morris  
Sent: Tuesday, October 27, 2015 11:13 AM  
To: Amanda Kirby; Jj Litchford  
Subject: FW: ACTION REQUIRED: Issue related to ACUs [I]

Classification: For internal use only

Hi, did we finish these?

Paul Morris

Managing Director

Deutsche Bank Private Bank

Office: [REDACTED]

Cell: [REDACTED]

From: Armen Brash

Sent: Tuesday, October 13, 2015 6:37 PM

To: Paul Morris; Amanda Kirby

Subject: ACTION REQUIRED: Issue related to ACUs [I]

Classification: For internal use only

Paul and Amanda,

As you may know, per the AML Procedures manual, certain clients are excluded from ACUs. An issue has been identified in dbforce where High Risk clients are given an ACU Auto Exemption for Retail Banking, however, per Policy, this exception does NOT apply to High Risk clients.

Unfortunately, the code in dbforce exempting high risk clients with only deposit accounts under \$250K from the ACU when it should not be—the code will be fixed ASAP, but in the meanwhile, while the ACUs listed below don't appear as overdue, they must be completed by year end.

Customer Name

Customer #

Relationship

Primary Officer

ACU Completed Date

Butterfly Trust

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

The 2007 Jeffrey E. Epstein Insurance Trust #3

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

New York Strategy Group, LLC

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Plan D, LLC

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

HBRK Associates, Inc

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Hyperion Air, LLC

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

JEGE, Inc

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Neptune, LLC

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

[REDACTED]

[REDACTED]

SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Zorro Development Corp.



SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Gratitude America



SOUTHERN FINANCIAL RELATIONSHIP

Paul Morris

Please let me know if you have any questions and please let me know when this has been completed.

Best,  
Armen

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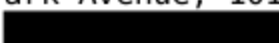

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Armen Brash

Director

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Tel.  Fax 

Mobile [REDACTED]  
Email [REDACTED]

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