

Subject: FW: ref. case#1469681 - reopen a/[REDACTED] - urgent [I]
From: Halina Laczny <[REDACTED]>
Date: Fri, 02 Oct 2015 17:10:34 -0400
To: Daphne Cales <[REDACTED]>
Cc: Jj Litchford <[REDACTED]>

Classification: For internal use only

Daphne,

Please read below FIS/AOG reply. Thank you.

****Have a nice weekend****

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GTO Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Bhavesh Chandani
Sent: Friday, October 02, 2015 5:07 PM
To: Halina Laczny
Cc: Gaurav Bhargava; Anil Tewani; Manish-m Gupta
Subject: RE: ref. case#1469681 - reopen a/[REDACTED] - urgent [I]

Classification: For internal use only

Hi Halina,

I have confirmed with FIS. And they say that the account will get purge form system after the 180 days from the day it got closed from system.

These 2 accounts got closed from system in the month of may, which means it will not get closed before November.

I think this was helpful, let me know in case of any further query.

Have a great weekend.

Thank you.

Kind Regards

Bhavesh Chandani

{cid:image001.png@01D05D82.AF6E2FB0}

Bhavesh Chandani
Graduate trainee | Accounts opening group
DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India
Mobile + [REDACTED]

VOIP [REDACTED]

telephone: [REDACTED]

Email [REDACTED]

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Please send all the PWM AOG- COB mail related Queires to our new Group E-mail ID [REDACTED]

From: Halina Laczny
Sent: Friday, October 02, 2015 4:36 PM
To: [REDACTED]; Bhavesh Chandani
Subject: FW: ref. case#1469681 - reopen a/[REDACTED] - urgent [I]

Classification: For internal use only

Fyi.....

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GTO Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Halina Laczny
Sent: Friday, October 02, 2015 4:32 PM
To: Gaurav Bhargava; 'PWM.AOG@LIST.DB.COM'
Subject: FW: ref. case#1469681 - reopen a/[REDACTED] - urgent [I]
Importance: High

Classification: For internal use only

In Manish absence please read below and advise, thank you.

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GT0 Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Halina Laczny
Sent: Friday, October 02, 2015 4:28 PM
To: Manish-m Gupta; PWM A0G
Cc: Daphne Cales; Jj Litchford
Subject: ref. case#1469681 - reopen a/[REDACTED] - urgent [I]
Importance: High

Classification: For internal use only

Manish,

A/[REDACTED] and a/[REDACTED] n/o Mort, Inc is currently closed and F0 working (KYC) on the re-opening

these accounts.

F0 is asking :

We have to confirm these accounts won't get purged from M&I over the weekend. Anyway we can put a status U on the account? Or make sure they don't get purged?

**** I think that we can't add/change on the closed account – correct? ****

Could you please check above in yellow and reply to it ? Thank you.

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GTO Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Daphne Cales
Sent: Friday, October 02, 2015 3:56 PM
To: Jj Litchford; Halina Laczny; Paul Morris
Cc: Catherine Logreco
Subject: RE: Account closing notifications - urgent [I]

Classification: For internal use only

Halina: We have to confirm these accounts won't get purged from M&I over the weekend. Anyway we can put a status U on the account? Or make sure they don't get purged?

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Vice President | Service Team & Branch Supervisor

Deutsche Bank Trust Company Americas
Lending & Deposits
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Jj Litchford
Sent: Friday, October 02, 2015 3:54 PM
To: Halina Laczny; Paul Morris; Daphne Cales
Cc: Catherine Logreco
Subject: RE: Account closing notifications - urgent [I]

Classification: For internal use only

Thanks Halina, we are working on a KYC for the account. This is on hold until Monday.

Appreciate the help.

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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]

{cid:image002.gif@01D02B3A.F8AC3FC0}

From: Halina Laczny
Sent: Friday, October 02, 2015 3:47 PM
To: Paul Morris; Jj Litchford; Daphne Cales
Cc: Catherine Logreco
Subject: RE: Account closing notifications - urgent [I]
Importance: High

Classification: For internal use only

A/C# [REDACTED] is still closed, in order to reopen account DB Force teas case is needed.

On 10/1/2015 JJ created case#01469681 and case was rejected. Please check and advise. Thank you.

Kind regards, Halina

Mort, Inc

[REDACTED] Demand Deposit Account

Action {https://10.159.69.21/opstopb1/images/menu_d_sm.gif} Admin
{https://10.159.69.21/opstopb1/images/menu_d_sm.gif} Window {https://-
10.159.69.21/opstopb1/images/menu_d_sm.gif} Help {https://10.159.69.21/-
opstopb1/images/menu_d_sm.gif}

2:37:58 PM CDT

Show More

Account Identification {View Additional Identification Information}

Mort, Inc

Home:

000-000-0000

Tax ID:

██████████ F

6100 Red Hook Quarter, B3

Work:

██████████

Last deposit:

210,000.00, 02/09/2015

St. Thomas

Branch:

5 - Core Franchise

Current bal:

0.00

00802

Prim officer:

81385 - Amanda Kirby

United States Virgin Islands

Overview

Account type:

10 - Business Checking

Account short name:

Mort, Inc

Deposit category:

D - Demand Deposit

Opened:

02/06/2015

Tax ID:

[REDACTED]

Closed, processing:

05/26/2015

Tax ID owner:

1 - Name/address line 1

Entered:

02/06/2015

Birth date:

Reopened:

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GTO Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Paul Morris
Sent: Friday, October 02, 2015 10:46 AM
To: Jj Litchford; Daphne Cales
Cc: Catherine Logreco; Halina Laczny
Subject: RE: Account closing notifications - urgent [I]

Classification: For internal use only

The client is funding a transaction in that account today. thanks

Paul Morris

Managing Director

Deutsche Bank Private Bank

Office: [REDACTED]

Cell: [REDACTED]

From: Jj Litchford
Sent: Friday, October 02, 2015 9:12 AM
To: Daphne Cales
Cc: Catherine Logreco; Halina Laczny; Paul Morris

Subject: Re: Account closing notifications - urgent [I]

Thanks Daphne.

Is there anyway to change that for a given client? For context this client (Southern Financial) has around \$200MM at the bank spread over 20+ entities each with multiple accounts. This is a really contentious point for them.

Appreciate he help.

On Oct 2, 2015, at 9:08 AM, Daphne Cales <[REDACTED]> wrote:

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Good morning.

Accounts with \$0 balances for 90 days are closed automatically on the system. No notification required – if you look at page 43 of the terms and conditions it says we can close an account without notification. It is the account executive/banker/RO's responsibility to make sure accounts are funded and remain active.

Let me know if you need anything further.

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Vice President | Service Team & Branch Supervisor

Deutsche Bank Trust Company Americas
Lending & Deposits
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Catherine Logreco
Sent: Thursday, October 01, 2015 6:25 PM
To: Daphne Cales
Cc: Halina Laczny; Jj Litchford
Subject: FW: Account closing notifications - urgent [I]
Importance: High

Classification: For internal use only

Hi Daphne,

Would your group know about below?

From: Halina Laczny
Sent: Thursday, October 01, 2015 6:16 PM
To: Catherine Logreco
Cc: Jj Litchford
Subject: RE: Account closing notifications - urgent [I]
Importance: High

Classification: For internal use only

Cathy,

We need your help in ref. accts: a/c [REDACTED] and a/[REDACTED].

Please check if between 2/15/2015 and 5/26/2015 was sent any notices to the client on those

accounts ?

We appreciate your assistance.

Thank you,

Kind regards,

Halina Laczny
Assistant Vice President
DB Services New Jersey,
GTO Research & Investigations
100 Plaza One - 3rd Floor
Jersey City, NJ 07311-3901
MS : [REDACTED]
Phone [REDACTED]

Securities offered through Deutsche Bank Securities, Inc

From: Jj Litchford
Sent: Thursday, October 01, 2015 5:47 PM
To: Halina Laczny
Subject: Account closing notifications [I]

Classification: For internal use only

Hi Halina--

One of our clients tried to transfer money today to an account which was auto closed due to inactivity (Mort, Inc. a/c [REDACTED]). They are furious because they say they did not receive notification of the closing. Do you know who is in charge of that and if we keep records for mail that was sent?

If you don't know, can you help point me in the right direction? This is very time sensitive because the client is so upset.

Much appreciated.
JJ

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JJ Litchford
Associate Banker

Deutsche Bank Trust Company Americas
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345 Park Avenue, 24th Floor
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Email [REDACTED]

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