
From: Bradley Gillin
Sent: Tuesday, September 11, 2018 6:23 PM
To: Vijay-A Sawant <[REDACTED]>; Stewart Oldfield <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Mayur Rathod <[REDACTED]>
Subject: RE: Assistance Required in Resolving Rejection Points KYC # - 01977700 [I]

Classification: **For internal use only**

Hi Vijay,
Please send the KYC policy, specifically for a Foundation, regarding below. Thanks.

Kindly confirm whether this donation constitutes 10% or more of the Gratitude's total assets? If yes, we would require constitutional docs for BV70, LLC (i.e constitutional docs, formation docs, ownership details, etc)

Regards,
Brad



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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Monday, September 10, 2018 8:21 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>; Mayur Rathod <[REDACTED]>
Subject: Assistance Required in Resolving Rejection Points KYC # - 01977700
Importance: High

Good Morning Stewart,

We are in receipt of following rejection points for Gratitude America Ltd, see my comments in red fonts -

Your KYC has been rejected.

Case #: 01977700
Relationship: SOUTHERN FINANCIAL RELATIONSHIP Customer Name: Gratitude America Ltd Customer Number: 00000499760 Reason for Rejection: The case was not reviewed in its entirety due to the below issues. Once this has been resolved, we will review the case. This will now be treated as an EDR.
1) As per the 2015 Form 990 (attached to the KYC by AFC), BV70 LLC donated \$10MM to this foundation and thus making them a "significant Donor". We need to fully KYC this entity. Please provide the required documentation and information. - As per attached Form 990 (from 2015), we can see that entity **BV70, LLC** donated \$10 million to