

For Plan D LLC covered in KYC 01977695, following is the only pending rejection item which requires resolution –

c. Please identify the legal reps and update the entity details page to reflect this information. The Operating Agreement states the company is manager-managed. An individual named Lawrence Visoski is identified as the initial manager. Is he still the manager of the company? Legal reps must be identified, verified, and added as parties to the KYC. Diligence searches are also required for legal reps. – Kindly provide the relevant doc for this, please? In your last response on this, you had stated “Reaching out to client. Will revert.”

We look forward to the required docs & info. Thanking you in advance for all your help.

Kind Regards,



Vijay Sawant

KYC Case Representative
Deutsche CIB Centre Private Limited - Deutsche Bank Group
Wealth Management
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway
Goregaon East, Mumbai - 400063, India

From: Stewart Oldfield
Sent: Thursday, October 25, 2018 11:32 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>; Alka Babu <[REDACTED]>;
Mayur Rathod <[REDACTED]>; Vinita Advani <[REDACTED]>
Subject: RE: Pending responses on rejection cases under the SOUTHERN FINANCIAL RELATIONSHIP

We've responded to many of these already. Please list only outstanding items in a single email.

Thanks

From: Vijay-A Sawant
Sent: Thursday, October 25, 2018 10:50 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>; Alka Babu <[REDACTED]>;
Mayur Rathod <[REDACTED]>; Vinita Advani <[REDACTED]>
Subject: Pending responses on rejection cases under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hi Stewart,

As discussed, we are awaiting responses to attached emails. For Plan D, you have mentioned that you are reaching out to the client, so just awaiting feedback on that.

Please note the resolution of above cases will lead to completion of ALL accounts from this relationship for 2018.