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**From:** Vijay-A Sawant [REDACTED]  
**Sent:** 9/7/2018 10:10:02 AM  
**To:** Kshitij Golani [REDACTED]  
**CC:** Bradley Gillin [REDACTED]; Stewart Oldfield [REDACTED]; [REDACTED]  
**Subject:** Your KYC has been rejected - Case # [REDACTED]

**Importance:** High

Hello Kshitij,

I have worked on the below rejection points in above case, kindly refer to my comments in red below -

Case #: [REDACTED]

Relationship: SOUTHERN FINANCIAL RELATIONSHIP Customer Name: Prytanee, LLC Customer Number: [REDACTED]

Reason for Rejection:7/31

A – Please provide a recent document that will serve as address proof. The IRS document is from September, 2016. – July 2018 statement verifying address attached.

B – Nature of Business: What do they do with the artwork? Do they purchase it and re-sell it? Does the trust only hold artwork as assets? – Comments updated

C – Please check to see if there is a memo that was accompanied by Chip Packard’s approval. If there is none, I recommend “refreshing” the approval with current senior management. The current e-mail approval does not address what exactly is being discussed and approved. – Kindly refer to attached email from Kim Hart which addresses this point. Hope it is satisfactory.

D – The address of employer for Caroline is missing. In addition, please include how long she has been with that company etc. - Updated

E – The “How Was the Client(s) Introduced? How long has the RM personally known the client?” field talks about Zorro Management. Please amend. - Updated

F – New fields were added as part of Dbforce change last weekend. Please ensure those fields are filled out. – updated

Hope this resolves all the issues in this case. I look forward to feedback, if any, thanks.

Kind Regards,



Vijay Sawant

KYC Case Representative  
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