

From: Vijay-A Sawant [REDACTED]
Sent: 9/20/2018 7:13:59 AM
To: Richard Iarossi [REDACTED]; Bradley Gillin [REDACTED]
CC: Vinita Advani [REDACTED]; Daphne Cales [REDACTED]
Subject: RE: Assistance Required in Resolving Rejection Points in [REDACTED]
Attachments: DB Resolution 2015.pdf; Form ADV - March 2018.pdf

Hi Rich,

Thank you for Mr Richter's passport, however as per DB policy, we require SSN for any UBO who is a US citizen. Unfortunately, our research reports do not show the entire SSN# as the last four digits are crossed out, it shows Mr Richter's SSN as [REDACTED]. Could we request for this from the client?

One of the rejections points in this case is requirement of DB Corp Resolution for the DBAG NY Preferred Banking Account [REDACTED] as we have one only for the deposit acct (#44135476), attached for reference. Could we procure this corp resolution for [REDACTED] please?

Another rejection point is requesting us to verify Jeffrey Lomasky's (the authorized signer's) DOB. I could not find any ID docs for this individual from the repositories in DBForce. Could you provide an ID doc for Jeffrey, please?

"Per external research, Cerberus Capital Management, L.P. appears to own companies engaged in the defense industry. Please indicate if the client has gone through industry rep risk. If it has not, please obtain the appropriate approval" – Could you advise on this rejection please? Kindly procure the necessary approval to proceed further.

Schedule A of Cerberus Capital Management, L.P.'s Form ADV identifies Cerberus' managing directors/ key officers. Please obtain confirmation from the client indicating which individuals are deemed to be legal reps as defined by the US Country Addendum. – Attached form ADV for reference, refer Schedule A on Pg 124.

Please confirm if Cerberus Capital Management, L.P.'s volcker flag is correct. – Current Volcker selection is "None of the Above". Could you confirm the answer to the followup question below for this account holder, please?

Volcker Determination Question 2:

Is the vehicle an operating company which does not own or propose to acquire securities having a value of 40% or more of the value of its total assets on a non consolidated basis:

Wealth Profile:

Finally please note during our researches on this account, we have identified certain news events on this client which could potentially require us to undertake a rep risk assessment. Will keep you posted on the developments, thanks.

Kind Regards,



Vijay Sawant

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