

CAPITAL RELATIONSHIP [I]

Importance: High

Hello Brad,

All research requests have yielded some alerts (Fircosoft & RDC), for which I have already emailed AML team for approval, as appropriate. During review of research reports, I encountered the following adverse media that I require assistance with, in discounting off –

Stephen A. Feinberg

Court case on Pg 61-69, is a securities lawsuit filed in Michigan District Court against this RP. Please advise if ok to discount it as part of normal operations or advise alternatives, in case you disagree.

Seth P. Piattus

Court cases on Pgs 41-45 are all disposed before 2010, so no active cases against our RP at the moment. Please advise in case you disagree and provide appropriate comments accordingly.

Other adverse media is already addressed in this case. I look forward to your feedback on the above. I should be able to submit this case upon receiving your feedback on the above, thanks.

Kind Regards,



Vijay Sawant

KYC Case Representative
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From: Vijay-A Sawant

Sent: Tuesday, July 17, 2018 10:00 PM

To: Bradley Gillin [REDACTED]

Subject: RE: 2018 Periodic Review of acct Cerberus Capital Management, L.P. with GCIS#456209 under the CERBERUS CAPITAL RELATIONSHIP [I]

Hi Brad,

Many thanks for the docs and confirmation. I have launched KYC case#01966151 for the 2018 PR on this account.

Regarding [Richter Investment Corp](#), I did check KYC case 01439314, although I could not find any constitutional doc for this entity. I did come across the amendment to certificate of formation, refer attached, which does indicate that the By-Laws exist for this entity. The only reason for this request is that this is the high risk account & I wanted to have a look at all the relevant constitutional docs so we do not miss on any RP or misunderstand the ownership structure and/or result in incomplete review. If you are still unable to find the constitutional doc, we can leave this for now. Based on the Form ADV and KYC Prints of previously approved KYC's, we have all info on Richter Investment Corp and RP's involved.

I have ran Due Diligence Requests today and awaiting response. Will get back to you once all researches are complete.