

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: Tuesday, September 04, 2018 7:24 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Vinita Advani <[REDACTED]>; Richard Iarossi <[REDACTED]>
Subject: Re: Assistance Required in solving rejection points on KYC Case#01946825 [I]

Are we looking for exco approval for prytanee specifically or for Epstein/southern financial?

Stewart Oldfield, CFA, CAIA
Director

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, New York, NY 10154

[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

On Sep 4, 2018, at 9:44 AM, Vijay-A Sawant <[REDACTED]> wrote:

Hi Stewart,

A kind reminder of the below rejection case. Note the only pending item for this case (01946825) is as follows –

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 provide this please.

- Recent ExCo approval was obtained and attached. All alerts have been cleared. What do they need here – an updated ExCo approval?

Note we are looking for an ‘updated’ Exco approval, as requested by the AML team, thanks.

<image001.gif>

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