

<richard.iarossi@db.com>

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

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

From: Vijay-A Sawant
Sent: Friday, August 10, 2018 10:57 AM
To: Bradley Gillin <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: RE: Assistance Required in solving rejection points on KYC Case#01946825 [I]
Importance: High

Hi Brad,