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**From:** Vijay-A Sawant [REDACTED]  
**Sent:** 8/24/2018 5:08:31 AM  
**To:** Stewart Oldfield [REDACTED]; Richard Iarossi [REDACTED]  
**CC:** Mayur Rathod [REDACTED]; Bradley Gillin [REDACTED]  
**Subject:** RE: 2018 Periodic Review of High Risked Accounts [REDACTED] (GCIS# [REDACTED]), Butterfly Trust (GCIS# [REDACTED]) and Neptune, LLC (GCIS# [REDACTED]) under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
**Attachments:** Southern Financial\_No Material Changes Confirmation.pdf  
**Importance:** High

Hello Richard,

We have received material change confirmation from Brad on below accounts as per attached email. So following are list of items pending on these accounts -

- Butterfly trust – Kindly confirm if this is a Personal Trust and NOT Corporate Trust? After reviewing the trust agreement, we noticed that the UBO's seem not related to the grantor. The reason for this request is to evaluate whether we require CDD form for this account or not. NOTE: we require CDD form ONLY in case of Corporate Trusts.
- Neptune LLC – Please note that Richard Kahn has been added as manager as per Operating Agreement even though he was NOT added as an RP in the previously approved KYC Case#01790739.

We will proceed to the next stages upon receipt of your confirmation of the above queries, thanks.

Kind Regards,



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  
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Mobile [REDACTED]  
[REDACTED]

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**From:** Vijay-A Sawant  
**Sent:** Tuesday, July 31, 2018 6:31 PM  
**To:** Bradley Gillin [REDACTED]; Stewart Oldfield [REDACTED]  
**Cc:** Mayur Rathod [REDACTED]  
**Subject:** 2018 Periodic Review of High Risked Accounts [REDACTED] (GCIS# [REDACTED]), Butterfly Trust (GCIS# [REDACTED]) and Neptune, LLC (GCIS# [REDACTED]) under the SOUTHERN FINANCIAL RELATIONSHIP  
**Importance:** High

Hello Brad/Stewart,

This review relates to above high risked three accounts due for remediation 08/31/2018.

Upon review of the docs available in the repositories, we have completed the attached checklist, main RP's also listed below for reference –