

From: Vijay-A Sawant [REDACTED]
Sent: 9/24/2018 5:54:27 AM
To: Stewart Oldfield [REDACTED]
CC: Bradley Gillin [REDACTED]; Mayur Rathod [REDACTED]; Richard Iarossi [REDACTED]
Subject: RE: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin Islands Foundation, Inc (GCIS#486427) & Hyperion Air, LLC (GCIS#487225) under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hello Stewart,

As per COGS received last week (in separate email), we are all sorted for this case (01977699) except the following –

GCIS 486427 – We are unable to see this account in DB Insight. So we need **expected size and frequency of regular inflows and outflows & what is the expected volume of assets and currency for the account approx. 90 days after opening.**

Action	DB Account Name	Account ID	Contact Name	Product Name	Market Value	Date Opened	Active	Balance As Of
Full	N40024950 - J. EPSTEIN VIRGIN ISLANDS	N40024950	J. Epstein Virgin Islands Foundation, Inc	Brokerage Advisory	\$398,597.00	9/30/2015	✓	9/26/2018

In addition to the below, could you advise the following info for account holder (J. Epstein Virgin Islands Foundation, Inc) as the numbers do not seem to make sense and can invite potential rejection point –

Estimated Annual Gross Income(Entity):	100000
Estimated Annual Net Profit(Entity):	2000000
Estimated Investable/Liquid Assets:	<\$1 MM
Amt of assets planned to invest w/ PWM:	0

We look forward to your feedback before we re-submit these cases for AML approval, thanks.

Kind Regards,



Vijay Sawant

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From: Vijay-A Sawant
Sent: Friday, August 24, 2018 3:33 PM
To: Richard Iarossi [REDACTED]; Stewart Oldfield [REDACTED]
Cc: Bradley Gillin [REDACTED]; Terri Sohrab [REDACTED]; Mayur Rathod [REDACTED]
Subject: Re: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin Islands Foundation, Inc (GCIS#486427) &