

Kind Regards,



Vijay Sawant

KYC Case Representative
Deutsche CIB Centre Private Limited - Deutsche Bank Group
Wealth Management

From: Stewart Oldfield
Sent: Friday, August 31, 2018 5:52 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]@db.com>; Mayur Rathod <[REDACTED]>; Bradley Gillin <[REDACTED]>
Subject: Re: 2018 Periodic Review of High Risked Accounts ([REDACTED]), Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Butterfly is a personal trust.

For Neptune, any reason not to just add Rich as an RP? We've already KYC'd him for other accounts, correct?

Will call you at 9 or so.

Thanks

Stewart Oldfield, CFA, CAIA
Director

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management

Securities offered through Deutsche Bank Securities Inc.

On Aug 31, 2018, at 7:21 AM, Vijay-A Sawant <[REDACTED]> wrote:

Hi Stewart,

Please see pending confirmations required in KYC Case#01977698 for Butterfly & Neptune, below –

- 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.