

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
Tel. [REDACTED]
Mobil [REDACTED]

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,

A kind reminder of the below ‘updated’ Exco approval request for acct Prytanee LLC under the SOUTHERN FINANCIAL RELATIONSHIP for KYC Case#**01946825**.

Regards,

<image001.gif>

Vijay Sawant

KYC Case Representative
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