

Regards,
Brad



Bradley Gillin
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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Wednesday, August 01, 2018 4:41 AM
To: Bradley Gillin <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: RE: Assistance Required in solving rejection points on KYC Case#01946825 [I]
Importance: High

Good Morning Brad/Stewart,

I have received following 'new' rejection points on this case, as follows, see me comments in red below –

Reason for Rejection:7/31

- A – Please provide a recent document that will serve as address proof. The IRS document is from September, 2016. – Could you provide latest (July 18) bank statement for this entity? This should resolve this request.
- B – Nature of Business: What do they do with the artwork? Do they purchase it and re-sell it? Does the trust only hold artwork as assets? – As per constitutional docs, the purpose of Prytanee LLC is for engaging in the acquisition, ownership & management of artwork for investment purposes. I had already updated this but it seems they want more info on re-selling part. Could you advise on this please?
- 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.
- D – The address of employer for Caroline is missing. In addition, please include how long she has been with that company etc. – For Caroline, I have now updated Sotheby's Switzerland address & already updated that she was appointed there in 2012. Please advise if you have any additional points to add?
- E – The "How Was the Client(s) Introduced? How long has the RM personally known the client?" field talks about Zorro Management. Please amend. – Updated as appropriate.
- F – New fields were added as part of Dbforce change last weekend. Please ensure those fields are filled out. – Please advise on the following additional points for this case, as appropriate:

L. Special Risk Factors	
Does the account have a Nexus to High risk Countries? <input type="checkbox"/>	Is the account structure unusually complex? <input type="checkbox"/>
Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties? <input type="checkbox"/>	Is there any indication this could be a prohibited business relationship? <input type="checkbox"/>
Are the bearer shares identified subject to acceptable controls? <input type="checkbox"/>	

I look forward to your response at the earliest in resolving these rejections, thanks.

Kind Regards,



Vijay Sawant