

Do we need Mort to complete Gratitude? Also, what is SOS? Thanks

Stewart Oldfield, CFA, CAIA
Director

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Securities offered through Deutsche Bank Securities Inc.

On Aug 31, 2018, at 6:59 AM, Vijay-A Sawant <[REDACTED]> wrote:

Good Morning Stewart,

After receipt of the COGS for Gratitude America in attached email, we confirm that only the following items are pending for KYC Case#01977700

- SOS & COGS for **Mort Inc** dated in last 6 months. Entity domiciled in US Virgin Islands.

Once the above item is received, we will submit this case to the AML team for approval, thanks.

Regards,

<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

From: Vijay-A Sawant
Sent: Wednesday, August 01, 2018 5:37 PM
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>
Cc: Mayur Rathod <[REDACTED]>
Subject: 2018 Periodic Review of accts Mort, Inc (GCIS#487266) and Gratitude America Ltd (GCIS#499760) under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hello Brad/Stewart,

This review relates to review of above high-risked accounts due for remediation 8/31/2018.

Upon review of the docs available from repositories, we have completed attached checklists, identifying RP's below. List of pending items listed below –