
From: Mayur Rathod [REDACTED]
Sent: 10/17/2018 9:26:25 AM
To: Bradley Gillin [REDACTED]; Stewart Oldfield [REDACTED]
CC: Vijay-A Sawant [REDACTED]; Vinita Advani [REDACTED]; Richard Iarossi [REDACTED]
Subject: Assistance required in resolving Rejection Points - KYC 1977699 [I]
Attachments: image001.gif

Classification: For internal use only

Hi Brad/Stewart,

We require your assistance in resolving the following rejection points

(3) Please provide evidence of or a case comment regarding confirmation from the client that the information on the KYC is still accurate (i.e. ownership structure, signatories, etc. have not changed). The comment must include the name of the person spoken with and date this conversation occurred. (The attached internal email does not meet this requirement.) - No material confirmation email was attached to the KYC but will not suffice as per AFC. They need evidence of client (person) & date +confirming no material changes.

(4) Operating Agreement for Hyperion Air LLC indicates the company is manager-managed and the initial manager was Lawrence Visoski. Is he still manager? Please provide evidence of the current management for this entity. - Please provide evidence confirming if Lawrence Visoski is still the manager of Hyperion Air LLC. Have checked entity docs but couldn't find any details

(6) Please attach evidence of signing authority (Corporate authorization) for the brokerage account of J. Epstein Virgin Islands Foundation In., granting signing auth for Erika Kellerhals. - Will need DB Corporate Resolution for this account

(7) Per J. Epstein Virgin Islands Foundation Inc brokerage account documents, Limited Trading Authority granted to Paul Barrett. Please add as party to the KYC with all appropriate documentation and research. Please help in getting Limited Trading Authority document for Paul Barrett for this account.

Thanks & Regards

Mayur Rathod

KYC Case Representative
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