

B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway  
Goregaon East, Mumbai - 400063, India

Tel. [REDACTED]  
Mobile + [REDACTED]

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**From:** Vijay-A Sawant  
**Sent:** Friday, August 24, 2018 5:28 PM  
**To:** Richard Iarossi <[REDACTED]>  
**Cc:** Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>  
**Subject:** FW: 2018 Periodic Review of Accts Southern Financial LLC ([REDACTED]) & LSJE, LLC ([REDACTED]) under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
**Importance:** High

Hello Rich,

For the above accounts, we have received confirmation from Brad that there are no material changes to these accounts in another email. We have launched KYCCase#01977703 for these accounts and following are pending items -

- **Southern Financial LLC** – One of the RP's Jean Anne Brennan Wiebracht has incorrect name reflected in Corp Resolution and Signature Card from 2017. The name reflecting there is Jeanne Brennan whereas her driving license, attached for reference reflects Jean Anne Brennan. Could we request for an updated Corp Resolution with correct name, please? Note the Operating agreement reflects the name Jeanne Brennan.
- **Southern Financial LLC** - SOS from USVI website or COGS dated within last 6 months.
- **LSJE LLC** – SOS from USVI website or COGS dated within the last 6 months.

Thanks & Regards,



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  
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**From:** Vijay-A Sawant  
**Sent:** Tuesday, August 14, 2018 5:20 PM  
**To:** Bradley Gillin <[REDACTED]>  
**Cc:** Stewart Oldfield <[REDACTED]>  
**Subject:** 2018 Periodic Review of Accts Southern Financial LLC ([REDACTED]) & LSJE, LLC ([REDACTED]) under the SOUTHERN FINANCIAL RELATIONSHIP  
**Importance:** High

Hi Brad,

This relates to above high risked accounts due for remediation Aug 2018.