
From: Mayur Rathod [REDACTED]
Sent: 10/31/2018 9:13:08 AM
To: Richard Iarossi [REDACTED]
CC: Bradley Gillin [REDACTED]; Vinita Advan [REDACTED]; Stewart Oldfield [REDACTED]; Vijay-A Sawant [REDACTED]
Subject: RE: Pending responses on rejection cases under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Classification: **For internal use only**

Hi Rich,

Hope all is well.

Following up on the below email sent by Vijay regarding pending rejection items.

Do we have any update on the same.

Thanks & Regards



Mayur Rathod

KYC Case Representative

Deutsche CIB Centre Private Limited

Wealth Management

Floor 1, B1, DB Centre Mumbai

Nirlon Knowledge Park, Western Express Highway, Goregaon East, Mumbai 400063, India

From: Vijay-A Sawant
Sent: Friday, October 26, 2018 2:37 PM
To: Stewart Oldfield [REDACTED]
Cc: Bradley Gillin [REDACTED]; Richard Iarossi [REDACTED]; Alka Babu [REDACTED]; Mayur Rathod [REDACTED]; Vinita Advani [REDACTED]
Subject: RE: Pending responses on rejection cases under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hi Stewart,

For **Hyperion LLC** and **J Epstein Virgin Islands Foundation Inc** in rejected [REDACTED] we require the following items mentioned in red fonts –

(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