



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: Stewart Oldfield
Sent: Wednesday, September 05, 2018 6:45 PM
To: Vijay-A Sawant [redacted]
Cc: Richard Iarossi [redacted]; Mayur Rathod [redacted]; Bradley Gillin [redacted]
Subject: Re: 2018 Periodic Review of High Risked Accounts [redacted] Butterfly Trust [redacted] and Neptune, LLC [redacted] under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Thanks. Will submit this afternoon.

Stewart Oldfield, CFA, CAIA
Director

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, New York, NY 10154

[redacted]
Securities offered through Deutsche Bank Securities Inc.

On Sep 5, 2018, at 9:05 AM, Vijay-A Sawant [redacted] wrote:

Good Morning Stewart,

We have completed KYC Cases [redacted] for the above high risked accounts and re-assigning this case to you for your approval.

Request you to kindly advise if any discrepancies, or else forward to the AML team for final approval, thanks.

Kind Regards,

<image001.gif>

Vijay Sawant

KYC Case Representative
Deutsche CIB Centre Private Limited - Deutsche Bank Group
Wealth Management