

- Please tell them to call me if they reject this...
- Still laughing

C – Please check to see if there is a memo that was accompanied by Chip Packard’s approval. If there is none, I recommend “refreshing” the approval with current senior management. The current e-mail approval does not address what exactly is being discussed and approved. – Kindly provide this please.

- Recent ExCo approval was obtained and attached. All alerts have been cleared. What do they need here – an updated ExCo approval?

D – The address of employer for Caroline is missing. In addition, please include how long she has been with that company etc. – For Caroline, I have now updated Sotheby’s Switzerland address & already updated that she was appointed there in 2012. Please advise if you have any additional points to add?

- Thank you. No.

E – The “How Was the Client(s) Introduced? How long has the RM personally known the client?” field talks about Zorro Management. Please amend. – Updated as appropriate.

- Jeffrey Epstein met with Stew Oldfield on 3/7/17 to open new acct for other entity. This is in the introduction field. RM has known the client for 4 years

F – New fields were added as part of Dbforce change last weekend. Please ensure those fields are filled out. – Please advise on the following additional points for this case, as appropriate:

L. Special Risk Factors

Does the account have a Nexus to High risk Countries? <input type="checkbox"/>	Is the account structure unusually complex? <input type="checkbox"/>
Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties? <input type="checkbox"/>	Is there any indication this could be a prohibited business relationship? <input type="checkbox"/>
Are the bearer shares identified subject to acceptable controls? <input type="checkbox"/>	

High Risk Countries – NO
 Shares to 3rd parties – NO
 Bearer shares, controls – NO
 Structure complex – NO
 Prohibited – NO

Regards,
 Brad



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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Wednesday, August 01, 2018 4:41 AM
To: Bradley Gillin [REDACTED]
Cc: Stewart Oldfield [REDACTED]
Subject: RE: Assistance Required in solving rejection points on KYC Case#01946825 [I]
Importance: High

Good Morning Brad/Stewart,

I have received following ‘new’ rejection points on this case, as follows, see me comments in red below –

Reason for Rejection:7/31