

A – Please provide a recent document that will serve as address proof. The IRS document is from September, 2016. – Could you provide latest (July 18) bank statement for this entity? This should resolve this request.

B – Nature of Business: What do they do with the artwork? Do they purchase it and re-sell it? Does the trust only hold artwork as assets? – As per constitutional docs, the purpose of Prytance LLC is for engaging in the acquisition, ownership & management of artwork for investment purposes. I had already updated this but it seems they want more info on re-selling part. Could you advise on this please?

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.

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?

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.

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:

<b>L. Special Risk Factors</b>	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 baselining shares to third parties? <input type="checkbox"/>	Are the bearer shares identified subject to acceptable controls? <input type="checkbox"/>	Is there any indication this could be a prohibited business relationship? <input type="checkbox"/>

I look forward to your response at the earliest in resolving these rejections, thanks.

Kind 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  
Goregaon East, Mumbai - 400063, India

---

**From:** Vijay-A Sawant  
**Sent:** Monday, July 23, 2018 12:22 PM  
**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,

A kind reminder of the below rejected case & an update as well.

Please note that as per latest update on CDD form delivery options (refer attached email from AML), we are able to verify signatures of authorized individual from signature card, corporate resolution, etc. I am able to verify Mr Epstein’s signature with 2017 Corp Resolution found in the repositories in this case. This resolves one of the rejection points below for us J

So just summarizing the only pending item for this case now –

- **COGS** for Prytance, LLC. (We would require the client to send latest COGS, dated within the last 6 months)

Let me know if you have any queries, thanks.

Kind Regards,