
From: Stewart Oldfield [REDACTED]
Sent: 9/5/2018 9:14:44 AM
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 [1]

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
Tel. [REDACTED]
Mobile [REDACTED]
Email [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 Case#01977698 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
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway
Goregaon East, Mumbai - 400063, India
Tel. [REDACTED]
Mobile [REDACTED]

From: Vijay-A Sawant
Sent: Friday, August 31, 2018 6:04 PM
To: Stewart Oldfield [REDACTED]
Cc: Richard Iarossi [REDACTED]; Mayur Rathod [REDACTED]; Bradley Gillin [REDACTED]
Subject: RE: 2018 Periodic Review of High Risked Accounts [REDACTED] ([REDACTED] Butterfly Trust ([REDACTED]) and Neptune, LLC [REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP