
From: Vijay-A Sawant [REDACTED]
Sent: 8/31/2018 7:21:20 AM
To: Stewart Oldfield [REDACTED]; Richard Iarossi [REDACTED]
CC: Mayur Rathod [REDACTED]; Bradley Gillin [REDACTED]
Subject: RE: 2018 Periodic Review of High Risked Account [REDACTED] Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Importance: High

Hi Stewart,

Please see pending confirmations required in KYC Cases [REDACTED] for Butterfly & Neptune, below –

- Butterfly trust – Kindly confirm if this is a Personal Trust and NOT Corporate Trust? After reviewing the trust agreement, we noticed that the UBO's seem not related to the grantor. The reason for this request is to evaluate whether we require CDD form for this account or not. NOTE: we require CDD form ONLY in case of Corporate Trusts.
- Neptune LLC – Please note that Richard Kahn has been added as manager as per Operating Agreement even though he was NOT added as an RP in the previously approved KYC Case [REDACTED]

Kindly advise on the above so we can complete this case and submit to AML for approval, 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

Te [REDACTED]
M [REDACTED]

From: Vijay-A Sawant
Sent: Friday, August 24, 2018 2:39 PM
To: Stewart Oldfield [REDACTED]; Richard Iarossi [REDACTED]
Cc: Mayur Rathod [REDACTED]; Bradley Gillin [REDACTED]
Subject: RE: 2018 Periodic Review of High Risked Accounts [REDACTED] Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]
Importance: High

Hello Richard,

We have received material change confirmation from Brad on below accounts as per attached email. So following are list of items pending on these accounts -

- Butterfly trust – Kindly confirm if this is a Personal Trust and NOT Corporate Trust? After reviewing the trust agreement, we noticed that the UBO's seem not related to the grantor. The reason for this request is to evaluate whether we require CDD form for this account or not. NOTE: we require CDD form ONLY in case of Corporate Trusts.
- Neptune LLC – Please note that Richard Kahn has been added as manager as per Operating Agreement even though he was NOT added as an RP in the previously approved KYC Case [REDACTED]