
From: Vijay-A Sawant [REDACTED]
Sent: 8/31/2018 8:33:32 AM
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 (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]
Importance: High

Hi Stewart,

Thanks for the confirmation on Butterfly Trust. We confirm that we do not require CDD form for this account & everything ok with this acct.

For Neptune, we agree that we have all docs for Richard Kahn. The only reason we clarified below is because he was missing as RP, from the previously approved KYC (01790739). However as per documentation evidence, we confirm he needs to be added.

Anyways, we will be submitting this case by Monday when all searches are complete.

I am available for another hour today, are you free for a call now?

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
[REDACTED]

From: Stewart Oldfield
Sent: Friday, August 31, 2018 5:52 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] ([REDACTED]), Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Butterfly is a personal trust.

For Neptune, any reason not to just add Rich as an RP? We've already KYC'd him for other accounts, correct?

Will call you at 9 or so.

Thanks

Stewart Oldfield, CFA, CAIA