

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

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 Prytane 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:

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"/>	

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
Tel [REDACTED]
Mobile [REDACTED]

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