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**From:** Stewart Oldfield [redacted]  
**Sent:** 9/5/2018 6:03:20 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] (GCIS#489505), Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Thanks. Just submitted these. Do you know who is approving on behalf of Andrew Gallivan while he's out?

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**From:** Vijay-A Sawant  
**Sent:** Wednesday, September 05, 2018 9:34 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] (GCIS#489505), Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
**Importance:** High

Many thanks Stewart!!

Just wanted to remind you that KYC Case#01977700 also requires your review and submission to AML as per attached email. This case has 2 other accounts, so we will have 5 high risked accounts submitted today. 😊

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]  
Mob [redacted]  
vijay [redacted]

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**From:** Stewart Oldfield  
**Sent:** Wednesday, September 05, 2018 6:45 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 K [redacted] (GCIS#489505), Butterfly Trust (GCIS#486426) and Neptune, LLC (GCIS#487264) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Thanks. Will submit this afternoon.

Stewart Oldfield, CFA, CAIA  
Director

Deutsche Bank Trust Company Americas