

Subject: RE: KYC Remediation update [I]

From: Bradley Gillin [REDACTED]

Date: Thu, 23 Aug 2018 14:52:19 -0400

To: Terri Sohrab [REDACTED]

Cc: Richard Iarossi [REDACTED]

Classification: For internal use only

Updates in red below.

Khullar Relationship

- AMAAN HOLDINGS LLC – Due Date 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- HATTAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- MARSAS HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- o Response from client, Deepak Khullar, on 8/9/18 – ‘SoS for Samra- letter of good standing will have to be sourced from the registrars - CITCO and could take a week to ten days’

Jefferies Relationship:

- JCP IV QP, LLC – DueDate 06/30/2018 –
- o All outstanding KYC Docs received yesterday, pending review.

Cerberus Relationship:

- Cerberus Executive, LLC – DueDate 07/31/2018 – Awaiting docs as per attached 3rd email. I am aware that you have followed up with client on this, so thanks for that.
- o Working with Cerberus’ Council. FinCEN Form, Certificate of Good Standings (within 6 months), and constitutional docs from 6 entities were requested.

Sillerman Relationship:

- Aircraft Acquisition Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
 - Sillerman Investment Company III, LLC – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
 - Tomorrow Foundation – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
 - Elderberry X, LLC – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
 - Sillerman Investment Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- o Requested FinCEN forms from Sillerman – should receive tomorrow/early next week.

Southern Financial/Epstein Relationship:

- Epstein, Jeffrey E. – DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- Southern Financial LLC - DueDate 08/08/2018 – Awaiting docs as per attached 8th email attached.
- Southern Trust Company, Inc. - DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- J. Epstein Virgin Islands Foundation, Inc - DueDate 08/08/2018 – Docs & confirmation required as per attached 10th email
- GoldenTree Asset Management UK LLP- DueDate 08/09/2018 – Docs & confirmation required as per attached 11th email
- Gratitude America Ltd – DueDate 08/16/2018– Awaiting docs as per attached 6th email attached.
- Neptune, LLC – DueDate 08/16/2018 – Docs required as per attached 2nd email
- NES, LLC – DueDate 08/16/2018 – Docs & confirmation required as per attached 9th email.
- LSJE, LLC – DueDate 08/18/2018 – Awaiting docs as per attached 8th email attached.
- Hyperion Air, LLC – DueDate 08/18/2018 – Docs & confirmation

required as per attached 10th email

- JEGE, Inc – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email

- JEGE, LLC – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email

- Plan D, LLC – DueDate 08/18/2018 – Docs & confirmation required as per attached 9th email.

- Jeepers, Inc - DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email

- Mort, Inc - DueDate 08/18/2018 – Awaiting docs as per attached 6th email attached.

- Zorro Management, LLC - DueDate 08/18/2018 – Awaiting docs as per attached 5th email attached.

- o [REDACTED] – DueDate 07/27/2018 – Docs required as per attached 2nd email

- o Certificate of Good Standing (within 6 months) requested for all above referenced entities.

Regards,
Brad

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Bradley Gillin
Vice President
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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Thursday, August 23, 2018 11:52 AM
To: Bradley Gillin [REDACTED]
Cc: Richard Iarossi [REDACTED] Alka Babu [REDACTED]
Mayur Rathod [REDACTED]
Subject: RE: KYC Remediation update [I]
Importance: High

Hi Brad,

Following are the ongoing high risk accounts which are overdue for remediation in ascending order, their statuses below –

- AMAAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- HATTAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- MARSALA HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- JCP IV QP, LLC – DueDate 06/30/2018 – Docs received yesterday, pending review. Will advise as soon as that is done.
- [REDACTED] DueDate 07/27/2018 – Docs required as per attached 2nd email
- Cerberus Executive, LLC – DueDate 07/31/2018 – Awaiting docs as per attached 3rd email. I am aware that you have followed up with client on this, so thanks for that.
- Aircraft Acquisition Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Sillerman Investment Company III, LLC – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
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- Jeepers, Inc - DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- Mort, Inc - DueDate 08/18/2018 – Awaiting docs as per attached 6th email attached.

· Zorro Management, LLC - DueDate 08/18/2018 – Awaiting docs as per attached 5th email attached.

Happy to discuss items over a call whenever required, thanks.

Kind Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

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]
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From: Bradley Gillin
Sent: Thursday, August 23, 2018 2:19 AM
To: Vijay-A Sawant <[REDACTED]>
Cc: Richard Iarossi [REDACTED]
Subject: KYC Remediation update [I]

Classification: For internal use only

Hi Vijay,

Please send an updated summary list when you can. I would like to review with the team before my MTA. Thanks.

Regards,
Brad

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