

Subject: FW: KYC 1977700 [I]
From: Bradley Gillin <[REDACTED]>
Date: Fri, 14 Sep 2018 14:40:54 -0400
To: Richard Iarossi <[REDACTED]>

Classification: For internal use only

From: Daphne Cales
Sent: Friday, September 14, 2018 2:33 PM
To: Derek St-Hilaire <[REDACTED]>
Cc: Vinita Advani <[REDACTED]>; Vijay-A Sawant <[REDACTED]>
<[REDACTED]>; Bradley Gillin <[REDACTED]>; Stewart Oldfield
<[REDACTED]>
Subject: KYC 1977700 [I]

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Hello Derek,

We missed you on the call this morning. Could you please clarify how we can approach the client on the request for rejection #1? Is it just a DB request or is this an industry practice? If needed you can reach out to the banker Stewart Oldfield. Thanks.

Case #: 01977700

Relationship: SOUTHERN FINANCIAL RELATIONSHIP Customer Name: Gratitude America Ltd Customer Number: 00000499760 Reason for Rejection: The case was not reviewed in its entirety due to the below issues. Once this has been resolved, we will review the case. This will now be treated as an EDR.

1) As per the 2015 Form 990 (attached to the KYC by AFC), BV70 LLC donated \$10MM to this foundation and thus making them a "significant Donor". We need to fully KYC this entity. Please provide the required documentation and information.

2) Please provide ExCo approval as this is now an EDR.

3) Please provide the FinCEN form.

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Kind regards,
Daphne Cales

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Daphne Cales
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