

Subject: RE: Assistance Required in Resolving Rejection Points KYC # - 01977700 [I]
From: Bradley Gillin <[REDACTED]>
Date: Tue, 11 Sep 2018 08:53:04 -0400
To: Vijay-A Sawant <[REDACTED]>, Stewart Oldfield <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>, Mayur Rathod <[REDACTED]>

Classification: For internal use only

Hi Vijay,

Please send the KYC policy, specifically for a Foundation, regarding below. Thanks.

Kindly confirm whether this donation constitutes 10% or more of the Gratitude's total assets? If yes, we would require constitutional docs for BV70, LLC (i.e constitutional docs, formation docs, ownership details, etc)

Regards,
Brad

{cid:image001.gif@01D449AC.D7612EE0}

Bradley Gillin
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Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154
Tel. [REDACTED]
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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Monday, September 10, 2018 8:21 AM

To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi
[REDACTED]; Mayur Rathod <[REDACTED]>
Subject: Assistance Required in Resolving Rejection Points KYC # - 01977700
Importance: High

Good Morning Stewart,

We are in receipt of following rejection points for Gratitude America Ltd,
see my comments in red fonts -

Your KYC has been rejected.

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. – As per attached Form 990 (from 2015), we can see that entity BV70, LLC donated \$10 million to Gratitude. Kindly confirm whether this donation constitutes 10% or more of the Gratitude's total assets? If yes, we would require constitutional docs for BV70, LLC (i.e constitutional docs, formation docs, ownership details, etc)
- 2) Please provide ExCo approval as this is now an EDR. – Please provide since this is an EDR.
- 3) Please provide the FinCEN form. – If BV70, LLC is to be considered as UBO as per point 1, then revised CDD form required with updated section c.

To view the KYC click here <https://dbforcepb.my.salesforce.com/-5000e00001NOC5H>

Thanks & Regards

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

Vijay Sawant

KYC Case Representative

Deutsche CIB Centre Private Limited - Deutsche Bank Group

Wealth Management

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Tel. + [REDACTED]

Mobile [REDACTED]

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Mayur Rathod

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