

Subject: FW: Your KYC has been rejected - Case #: [REDACTED]

From: Vijay-A Sawant [REDACTED]

Date: Wed, 25 Jul 2018 06:15:23 -0400

To: Kshitij Golani <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>

Stewart Oldfield <[REDACTED]>

Hi Kshitij,

I have resolved all points below and re-submitting this case to you for your approval.

Let me know if any queries, I look forward to your feedback, 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]

Mobile [REDACTED]

From: Vijay-A Sawant

Sent: Tuesday, July 24, 2018 6:02 PM

To: Kshitij Golani <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>

<[REDACTED]>

Subject: Your KYC has been rejected - Case #: [REDACTED]

Importance: High

Good Morning Kshitij,

I have worked on the below rejection points and please see my comments below in red fonts for each -

Relationship: SOUTHERN FINANCIAL RELATIONSHIP Customer Name: Prytanee, LLC
Customer Number: [REDACTED] Reason for Rejection:

- 1) Please add the account number for the deposit account. - Updated
- 2) The address on the LLC Agreement does not match the address in the LLC Agreement. Please provide proof of address. – Attached DB bank statement evidencing the latest address. This address matches with the IRS letter, refer Pg 28 of attached pdf.
- 3) Please expand on the nature of business. What do they do with the investment in art work? Re-sell it? – Updated for Pierre Trust.
- 4) Richard Kahn has been tagged as a signatory. However, as per the DB Resolution uploaded under KYC – [REDACTED] he is not listed as a signatory. If Darren is indeed not a signatory, please remove him from this KYC. – Latest Corp Resolution (From 2017, attached for reference) reflects Darren Indyke as a signatory. Richard Kahn is NOT an RP on this account.
- 5) The Pierre Trust was created under the laws of USVI. Please re-run research with that country as well. - Done
- 6) Can you please locate the full e-mail chain that proves that Chip Packards approval actually refers to Epstein's jail sentence? The current e-mail attachment uploaded does not refer to what is actually being discussed. – Exco approval (from Patrick Campion) already attached to the case (on 6/7/2018) which addresses Epstein's 21 month jail sentence.
- 7) Please attach the RDC Alert for Richard Kahn. – Attached
- 8) Please provide SOW verification for Jeffrey Epstein. – Attached
- 9) Please complete SOW narrative for Caroline and provide SOW verification as well. – Now attached
- 10) The SOW narrative for Jeffrey Epstein seems a bit outdated. It still refers to the Financial Trust Company as the SOW Company. However, based on the consent of board of directors meeting from 2013, Financial Trust Company merged into Southern Financial LLC with Southern Financial LLC as the

surviving entity. Please updated the SOW narrative and provide research etc for the new entity. – Urgent rush request raised for Southern Financial LLC. SOW already updated to reflect the merger in the SOW section for Jeffrey Epstein.

11) Please explain in detail what this account is being used for. What are the monthly expenses of the company? - Updated

12) Please complete the 90 and one year values. The one year value is listed as \$1MM, however, the account currently has just less than \$200K. - Updated

13) Please provide COGS for Prytanee, LLC. - Attached

14) The account opened date in the KYC does not match the account opened date in DbForce. Please re-concile. – I see the “Date Opened” section reflects 1/20/2017 for this DB account accessed via the View Customer Accounts & Revenue option from the Customer page of this account. Kindly advise if this is still unacceptable?

15) Please add the state to Darren Indyke and Richard Kahn’s address. – Updated for Darren. Mr Kahn is not added as RP on this case.

16) Please add the TAX ID/Identification number for Caroline. - Updated

17) Please provide proof of delivery for the FinCEN form. Please ensure it was e-mailed by the same person who signed the form (Jeffrey Epstein). – Signature verification done through Corporate Resolution (now attached to case) where Jeffrey’s signature matches with that on the CDD form.

18) Please provide google searches for the appropriate entities and individuals. Please ensure you use the most up to date search string that is located in the US country addendum to the KOPs. – Google & Panama searches attached for Southern Financial LLC. Latest data string used for all Google searches.

Kindly advise on comments on Points 10 and 14 above and/or any other point which requires amendments and I will complete this case accordingly, 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]

Mobile [REDACTED]

[REDACTED]