

Subject: RE: Weekly Status Update - Week ending 10/12/2018 [I]  
From: Stewart Oldfield <[REDACTED]>  
Date: Mon, 15 Oct 2018 09:49:32 -0400  
To: Bradley Gillin [REDACTED]  
Cc: Richard Iarossi [REDACTED]

Done. Thanks

From: Bradley Gillin  
Sent: Monday, October 15, 2018 9:39 AM  
To: Stewart Oldfield <[REDACTED]>  
Cc: Richard Iarossi [REDACTED]  
Subject: FW: Weekly Status Update - Week ending 10/12/2018 [I]  
Importance: High

Classification: For internal use only

Stew,

Push below cases to the next KYC queue. Thanks.

KYC [REDACTED] - Southern Financial LLC & LSJE, LLC (For Stewart)

KYC [REDACTED] - J. Epstein Virgin Islands Foundation, Inc; Hyperion Air, LLC (For Stewart)

Regards,  
Brad

From: Vijay-A Sawant  
Sent: Monday, October 15, 2018 9:11 AM  
To: Bradley Gillin [REDACTED] Richard Iarossi  
[REDACTED]  
Cc: Mayur Rathod [REDACTED]; Vinita Advani [REDACTED]  
Subject: Weekly Status Update - Week ending 10/12/2018

Importance: High

Hello Brad,

Apologies, I was meant to send this on Friday, but here it is, belatedly. The counts are provided for each risk rating indicated by H for High risk, M for Moderate & L for Low. Let me know if you have any queries, thanks.

2018 HR Update:

Status

Count

Notes

Client not started

H - 0; M - 39 & L - 52

Client Outreach

H - 21; M - 6 & L - 0

Exclusion Completed

H - 12; M - 0 & L - 0

All Sillerman accts are being handled by ABR on account of bankruptcy filing by the SOW - Jeffrey Epstein

Fully Approved

H - 19; M - 1 & L - 0

Initial Due Diligence

H - 4; M - 1 & L - 0

Pending Approval

H - 20; M - 0 & L - 0

Accounts with PO are listed below for reference. These need to be pushed to the next stages.

Pending Exclusion

H - 2; M - 0 & L - 0

Profile Completion

H - 1; M - 0 & L - 0

Expected to be submitted as soon as docs received for GoldenTree

Quality Rejection

H - 11; M - 10 & L - 1

Grand Total

200

KYC [REDACTED] - Southern Financial LLC & LSJE, LLC (For Stewart)

KYC [REDACTED] - J. Epstein Virgin Islands Foundation, Inc; Hyperion Air, LLC (For Stewart)

KYC [REDACTED] Goldentree High Grade Floating Rate Fund GP LLC (For Brad)

KYC [REDACTED] Goldentree Loan Management GP, LLC (For Brad)

Let me know if any queries, 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]

Mobil [REDACTED]