

Subject: Re: 2018 Periodic Review of High Risked Accounts [REDACTED]  
[REDACTED], Butterfly Trust [REDACTED] and Neptune, LLC  
[REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
From: Stewart Oldfield [REDACTED]  
Date: Wed, 05 Sep 2018 10:30:52 -0400  
To: Vijay-A Sawant <[REDACTED]>  
Cc: Richard Iarossi <[REDACTED]>,  
Mayur Rathod <[REDACTED]>,  
Bradley Gillin <[REDACTED]>

Great, thanks

Stewart Oldfield, CFA, CAIA  
Director

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

On Sep 5, 2018, at 9:34 AM, Vijay-A Sawant <[REDACTED]> wrote:

> Many thanks Stewart!!

Just wanted to remind you that KYC Case# [REDACTED] also requires your review and submission to AML as per attached email. This case has 2 other accounts, so we will have 5 high risked accounts submitted today. J

Kind Regards,

<image001.gif>

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

[REDACTED]

From: Stewart Oldfield  
Sent: Wednesday, September 05, 2018 6:45 PM  
To: Vijay-A Sawant [REDACTED]  
Cc: Richard Iarossi [REDACTED] Mayur Rathod  
[REDACTED]; Bradley Gillin [REDACTED]  
Subject: Re: 2018 Periodic Review of High Risked Accounts [REDACTED]  
[REDACTED], Butterfly Trust [REDACTED] and Neptune, LLC  
[REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Thanks. Will submit this afternoon.

Stewart Oldfield, CFA, CAIA

Director

Deutsche Bank Trust Company Americas

Deutsche Bank Wealth Management

345 Park Avenue, New York, NY 10154

Tel. [REDACTED]

Mobile [REDACTED]

Email

Securities offered through Deutsche Bank Securities Inc.

On Sep 5, 2018, at 9:05 AM, Vijay-A Sawant <[REDACTED]> wrote:

Good Morning Stewart,

We have completed KYC Case [REDACTED] for the above high risk accounts and re-assigning this case to you for your approval.

Request you to kindly advise if any discrepancies, or else forward to the AML team for final approval, thanks.

Kind Regards,

<image001.gif>

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

From: Vijay-A Sawant  
Sent: Friday, August 31, 2018 6:04 PM  
To: Stewart Oldfield [REDACTED]  
Cc: Richard Iarossi [REDACTED]; Mayur Rathod  
[REDACTED]; Bradley Gillin [REDACTED]  
Subject: RE: 2018 Periodic Review of High Risked Accounts [REDACTED]  
[REDACTED], Butterfly Trust [REDACTED] and Neptune, LLC  
[REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
Importance: High

Hi Stewart,

Thanks for the confirmation on Butterfly Trust. We confirm that we do not require CDD form for this account & everything ok with this acct.

For Neptune, we agree that we have all docs for Richard Kahn. The only reason we clarified below is because he was missing as RP, from the previously approved KYC [REDACTED]. However as per documentation evidence, we confirm he needs to be added.

Anyways, we will be submitting this case by Monday when all searches are complete.

I am available for another hour today, are you free for a call now?

Kind Regards,

<image001.gif>

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

[REDACTED]

From: Stewart Oldfield  
Sent: Friday, August 31, 2018 5:52 PM  
To: Vijay-A Sawant [REDACTED]  
Cc: Richard Iarossi [REDACTED]; Mayur Rathod  
[REDACTED]; Bradley Gillin [REDACTED]  
Subject: Re: 2018 Periodic Review of High Risked Accounts [REDACTED]  
[REDACTED], Butterfly Trust [REDACTED] and Neptune, LLC  
[REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Butterfly is a personal trust.

For Neptune, any reason not to just add Rich as an RP? We've already KYC'd him for other accounts, correct?

Will call you at 9 or so.

Thanks

Stewart Oldfield, CFA, CAIA

Director

EFTA01420908

Deutsche Bank Trust Company Americas

Deutsche Bank Wealth Management

345 Park Avenue, New York, NY 10154

Tel. [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

On Aug 31, 2018, at 7:21 AM, Vijay-A Sawant [REDACTED] wrote:

Hi Stewart,

Please see pending confirmations required in KYC Case# [REDACTED] for Butterfly & Neptune, below –

Butterfly trust – Kindly confirm if this is a Personal Trust and NOT Corporate Trust? After reviewing the trust agreement, we noticed that the UBO's seem not related to the grantor. The reason for this request is to evaluate whether we require CDD form for this account or not. NOTE: we require CDD form ONLY in case of Corporate Trusts.  
Neptune LLC – Please note that Richard Kahn has been added as manager as per Operating Agreement even though he was NOT added as an RP in the previously approved KYC Case# [REDACTED].

Kindly advise on the above so we can complete this case and submit to AML for approval, thanks.

Kind Regards,

<image001.gif>

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

From: Vijay-A Sawant  
Sent: Friday, August 24, 2018 2:39 PM  
To: Stewart Oldfield [redacted]; Richard Iarossi

Cc: Mayur Rathod [redacted]; Bradley Gillin

Subject: RE: 2018 Periodic Review of High Risked Accounts [redacted]  
[redacted] Butterfly Trust [redacted] and Neptune, LLC  
[redacted] under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
Importance: High

Hello Richard,

We have received material change confirmation from Brad on below accounts as per attached email. So following are list of items pending on these accounts

. Butterfly trust – Kindly confirm if this is a Personal Trust and NOT Corporate Trust? After reviewing the trust agreement, we noticed that the UBO's seem not related to the grantor. The reason for this request is to evaluate whether we require CDD form for this account or not. NOTE: we require CDD form ONLY in case of Corporate Trusts.

. Neptune LLC – Please note that Richard Kahn has been added as manager as per Operating Agreement even though he was NOT added as an RP in the previously approved KYC Case# [REDACTED]

We will proceed to the next stages upon receipt of your confirmation of the above queries, thanks.

Kind Regards,

<image001.gif>

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



From: Vijay-A Sawant  
Sent: Tuesday, July 31, 2018 6:31 PM  
To: Bradley Gillin [REDACTED]; Stewart Oldfield

Cc: Mayur Rathod [REDACTED]  
Subject: 2018 Periodic Review of High Risked Accounts [REDACTED]  
[REDACTED] Butterfly Trust [REDACTED] and Neptune, LLC [REDACTED]  
under the SOUTHERN FINANCIAL RELATIONSHIP



Acct Holder – Neptune LLC

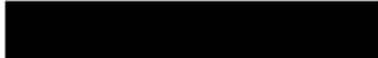
Sole Member & Shareholder – Jeffrey Epstein

Manager – Richard Kahn

Authorized Signers – Harry Beller & Darren Indyke

Following are list of required items –

- Confirm whether material changes to account or not & RP's identified above are correct?
- Fincen CDD form required, attached blank form for reference

Acct Holder & Authorized Signatory – 

Joint Acct Holder & Authorized Signatory – Karyna Shuliak

SOW Company (for Karyna Shuliak) – JSC Interiors LLC

Following are the list of required items –

- Confirm whether material changes to account or not?

Kindly advise at the earliest on the above so I can launch KYC for all accounts and begin remediation, thanks.

Kind Regards,

<image001.gif>

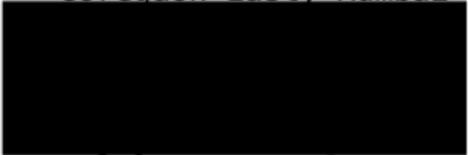
Vijay Sawant

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



<mime-attachment>