

Subject: RE: Southern Financial  
From: Vijay-A Sawant <[REDACTED]>  
Date: Wed, 26 Sep 2018 06:01:48 -0400  
To: Stewart Oldfield <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>,  
Richard Iarossi <[REDACTED]>,  
Mayur Rathod <[REDACTED]>,  
Alka Babu <[REDACTED]>

Hello Stewart,

We have some good news in that regard. We have had 2 KYC's (01977698 & 01946825) which got approved in this past week. These cases cover high risked accounts Prytanee, LLC, [REDACTED], Neptune, LLC & Butterfly Trust.

We are in the process of submitting more cases on top of cases already submitted which are under review with AML at the moment, e.g. Epstein, Jeffrey E., Southern Trust Company, Inc and Zorro Management LLC, etc.

We are awaiting docs for the following entities from this relationship for high risk accounts only –

- Gratitude America Ltd (Docs of significant donor)
- Jeepers Inc (COGS for acct holder)
- Plan D, LLC (COGS for acct holder)

Additionally we require following info from you to complete the cases in DBForce:

Purpose of the account required for following DB accts –

1. JEGE, INC Deposit acct [REDACTED]
2. JEGE, LLC Deposit acct [REDACTED]

3. JEEPERS INC Brokerage acct# [REDACTED]
4. PLAN D, LLC Deposit acct [REDACTED]
5. The 2007 Jeffrey E. Epstein Insurance Deposit [REDACTED]
6. NES, LLC Deposit [REDACTED]
7. THE HAZE TRUST Deposit [REDACTED], [REDACTED] & [REDACTED]

Finally, Estimated Annual Gross Income (Entity) and Estimated Annual Net Profit required for the following account holders:-

- The 2007 Jeffrey E. Epstein Insurance Trust#3
- The Haze Trust
- NES, LLC
- Plan D, LLC

We will be able to submit all the remaining cases from this relationship once the above info & docs are received. Let me know if any queries, thanks.

Kind Regards,

{cid:1\_\_=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

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From: Stewart Oldfield  
Sent: Wednesday, September 26, 2018 1:36 AM  
To: Vijay-A Sawant <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Subject: Southern Financial

Vijay,

Have we had any feedback on the lasted KYCs you submitted for Southern Financial? Would be good to understand which ones we still need more info on. I think we are still waiting on COGS for Jeepers and Neptune. We also still need to resolve the BV70 issue with Gratitude America. All of this is with the client at this point. Is there anything else I need to be following up on?

Thanks

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Stewart Oldfield, CFA, CAIA  
Director

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