

Subject: RE: CDD Forms and Prytanee certificate of good standing [C] [I]
From: Vijay-A Sawant <[REDACTED]>
Date: Wed, 25 Jul 2018 06:10:46 -0400
To: Bradley Gillin <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>

Many thanks for the revised CDD form, Brad.

As per attached, I am awaiting response from AML on some of the rejection points to resolve this rejection.

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]

From: Bradley Gillin
Sent: Wednesday, July 25, 2018 2:03 AM
To: Vijay-A Sawant <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: RE: CDD Forms and Prytanee certificate of good standing [C] [I]

Classification: For internal use only

Vijay,

See attached newer version of the FinCEN forms – the correct SS# were updated.

Regards,
Brad

{cid:image001.gif@01D4236B.E5E32B10}

Bradley Gillin
Vice President
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Bradley Gillin
Sent: Monday, July 23, 2018 2:58 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: FW: CDD Forms and Prytanee certificate of good standing [C] [I]

Classification: For internal use only

Vijay,

See below and attached.

- COGS for Prytanee
- FinCEN Form for Southern Trust Company, Inc (signature verified)

Thanks.

Regards,
Brad

From: Darren Indyke [mailto:██████████]
Sent: Monday, July 23, 2018 2:13 PM
To: Bradley Gillin <██████████>
Cc: Darren Indyke <██████████>
Subject: Re: CDD Forms and Prytanee certificate of good standing [C]

Please see attache STC's CDD form and the Cert of Good Standing for Prytanee.

DARREN K. INDYKE
DARREN K. INDYKE, PLLC
575 Lexington Avenue, 4th Floor
New York, New York 10022
Telephone: ██████████
Telecopier: ██████████
Mobile: ██████████
email: ██████████

The information contained in this communication is confidential, may be attorney-client privileged, and is intended only for the use of the addressee. It is the property of Darren K. Indyke, PLLC. Unauthorized use, disclosure or copying of this communication or any part thereof is strictly prohibited and may be unlawful. If you have received this

communication in error, please notify us immediately by return e-mail,
and destroy this
communication and all copies thereof, including all attachments.
Copyright of Darren K. Indyke, PLLC - © 2018 Darren K.
Indyke, PLLC – All rights reserved.

On Jul 23, 2018, at 1:14 PM, Bradley Gillin <bradley.gillin@db.com> wrote:

Classification: Confidential

Hi Darren,

A FinCEN CDD form is required for Southern Trust Company, Inc. We initially
thought the form would not be required for this type of entity– apologies.
You are an authorized signer on this account.

Also, to follow up on below, we require of certificate of good standing
(within 6 months) for Prytanee.

Thank you.

Regards,
Brad

<image001.gif>

Bradley Gillin
Vice President
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Stewart Oldfield
Sent: Tuesday, July 17, 2018 5:26 PM
To: Darren Indyke <[REDACTED]>
Cc: Richard Kahn <[REDACTED]>; Bradley Gillin
<[REDACTED]>
Subject: RE: CDD Forms and Prytanee certificate of good standing

Even better news, there's nothing more that you need to do on the CDD forms. We will take them as is. Sorry for the back and forth.

We do still need the certificate of good standing for Prytanee, however. Please send when you can.

Thanks

From: Stewart Oldfield
Sent: Monday, July 16, 2018 1:07 PM
To: Darren Indyke <[REDACTED]>
Cc: Richard Kahn <[REDACTED]>; Bradley Gillin
<[REDACTED]>
Subject: RE: CDD Forms and Prytanee certificate of good standing

Sorry for the inconvenience. These forms are new and have quickly become the bane of my existence. I don't think you need to reexecute. For now, please just reattach what you already sent (also attached to this email) into emails from your address and Jeffrey's. I simply need to receive them from you directly.

Thanks

From: Darren Indyke [mailto:[REDACTED]]
Sent: Monday, July 16, 2018 11:15 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Darren Indyke <[REDACTED]>; Richard Kahn <[REDACTED]>
Subject: Re: CDD Forms and Prytanee certificate of good standing

Stewart,

We sent these to you over a month ago and asked whether you needed originals. We have discarded the hard copies. If they need to be re-executed, please re-send form and we will have them re-executed and notarized.

DARREN K. INDYKE
DARREN K. INDYKE, PLLC
575 Lexington Avenue, 4th Floor
New York, New York 10022
Telephone: [REDACTED]
Telecopier: [REDACTED]
Mobile: [REDACTED]
email: [REDACTED]

The information contained in this communication is confidential, may be attorney-client privileged, and is intended only for the use of the addressee. It is the property of Darren K. Indyke, PLLC. Unauthorized use, disclosure or copying of this communication or any part thereof is strictly prohibited and may be unlawful. If you have received this communication in error, please notify us immediately by return e-mail, and destroy this communication and all copies thereof, including all attachments. Copyright of Darren K. Indyke, PLLC - © 2018 Darren K. Indyke, PLLC – All rights reserved.

On Jul 16, 2018, at 10:56 AM, Stewart Oldfield <[REDACTED]>
wrote:

<doc03237020180606141852.pdf>

This communication may contain confidential and/or privileged information. If you are not the intended recipient (or have received this communication in error) please notify the sender immediately and destroy this communication. Any unauthorized copying, disclosure or distribution of the material in this communication is strictly forbidden.

Please refer to <https://db.com/disclosures> for additional EU corporate and regulatory disclosures.

Deutsche Bank does not render legal or tax advice, and the information contained in this communication should not be regarded as such.

<Fincen CDD

Form_Certification_Regarding_Beneficial_Owners_of_Legal_Entit....pdf>