

Subject: RE: Southern Financial
From: Vijay-A Sawant <[REDACTED]>
Date: Thu, 27 Sep 2018 04:27:42 -0400
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>,
Richard Iarossi <[REDACTED]>,
Mayur Rathod <[REDACTED]>,
Alka Babu <[REDACTED]>

Many thanks Stewart!! I confirm receipt of Jeepers COGS in another email yesterday too.

Regarding Gratitude, sure just let us know when you would like to discuss and we will arrange a call.

Following are now the updated pending items for Southern Financial Relationship –

- Gratitude America Ltd (Docs of significant donor)

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

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
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From: Stewart Oldfield
Sent: Wednesday, September 26, 2018 8:59 PM
To: Vijay-A Sawant <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi
<[REDACTED]>; Mayur Rathod <[REDACTED]>; Alka Babu
<[REDACTED]>
Subject: RE: Southern Financial

Here's the Plan D COGS. Will try to get Jeepers as soon as possible.

As for Gratitude, the client is still determining what info they will be able to provide us (if any). We will need to revisit that one in a couple of weeks

Thanks

From: Vijay-A Sawant
Sent: Wednesday, September 26, 2018 6:02 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>; Mayur Rathod <[REDACTED]>; Alka Babu <[REDACTED]>
Subject: RE: Southern Financial
Importance: High

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 risk 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,

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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

Stewart Oldfield, CFA, CAIA
Director

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