

Subject: RE: Pending responses on rejection cases under the SOUTHERN FINANCIAL RELATIONSHIP

From: Vijay-A Sawant <[REDACTED]>
Date: Fri, 26 Oct 2018 05:06:47 -0400
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>,
Richard Iarossi <[REDACTED]>,
Alka Babu <[REDACTED]>,
Mayur Rathod <[REDACTED]>
Vinita Advani <[REDACTED]>

Hi Stewart,

For Hyperion LLC and J Epstein Virgin Islands Foundation Inc in rejected KYC 01977699, we require the following items mentioned in red fonts –

(3) Please provide evidence of or a case comment regarding confirmation from the client that the information on the KYC is still accurate (i.e. ownership structure, signatories, etc. have not changed). The comment must include the name of the person spoken with and date this conversation occurred. (The attached internal email does not meet this requirement.) – No material confirmation email was attached to the KYC but will not suffice as per AFC. They need evidence of client (person) & date +confirming no material changes.

(4) Operating Agreement for Hyperion Air LLC indicates the company is manager-managed and the initial manager was Lawrence Visoski. Is he still manager? Please provide evidence of the current management for this entity. – Please provide evidence confirming if Lawrence Visoski is still the initial manager at Hyperion Air LLC. We have re-checked the repositories and didn't find anything for this.

(6) Please attach evidence of signing authority (Corporate authorization) for the brokerage account of J. Epstein Virgin Islands Foundation In., granting signing auth for Erika Kellerhals. – Will need DB Corporate Resolution for this brokerage account# N4G024950

(7) Per J. Epstein Virgin Islands Foundation Inc brokerage account documents, Limited Trading Authority granted to Paul Barrett. Please add as party to the KYC with all appropriate documentation and research. Please help in getting Limited Trading Authority document for Paul Barrett for this

account.

For Mort Inc covered in rejected KYC Case 01983253, the following is the only pending rejection item -

1. In addition to the provided source of wealth information, please provide info and narrative as to the source of funds that will be deposited into the account. – Please provide info for following blank fields, as appropriate.

For Plan D LLC covered in KYC 01977695, following is the only pending rejection item which requires resolution –

c. Please identify the legal reps and update the entity details page to reflect this information. The Operating Agreement states the company is manager-managed. An individual named Lawrence Visoski is identified as the initial manager. Is he still the manager of the company? Legal reps must be identified, verified, and added as parties to the KYC. Diligence searches are also required for legal reps. – Kindly provide the relevant doc for this, please? In your last response on this, you had stated “Reaching out to client. Will revert.”

We look forward to the required docs & info. Thanking you in advance for all your help.

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]

Mobile [REDACTED]
[REDACTED]

From: Stewart Oldfield

Sent: Thursday, October 25, 2018 11:32 PM

To: Vijay-A Sawant <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi

<[REDACTED]>; Alka Babu <[REDACTED]>; Mayur Rathod

<[REDACTED]>; Vinita Advani <[REDACTED]>

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We've responded to many of these already. Please list only outstanding items in a single email.

Thanks

From: Vijay-A Sawant

Sent: Thursday, October 25, 2018 10:50 AM

To: Stewart Oldfield <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi

<[REDACTED]>; Alka Babu <[REDACTED]>; Mayur Rathod

<[REDACTED]>; Vinita Advani <[REDACTED]>

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Importance: High

Hi Stewart,

As discussed, we are awaiting responses to attached emails. For Plan D, you have mentioned that you are reaching out to the client, so just awaiting feedback on that.

Please note the resolution of above cases will lead to completion of ALL accounts from this relationship for 2018.

For Jockey Club, I will respond in a separate email.

Let us know if any queries, thanks.

Kind Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

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