

Subject: RE: Assistance required in resolving Rejection Points - KYC
01977695 [I]

From: Bradley Gillin <[REDACTED]>

Date: Fri, 12 Oct 2018 11:43:12 -0400

To: Vijay-A Sawant <[REDACTED]>,
Stewart Oldfield <[REDACTED]>

Cc: Richard Iarossi <[REDACTED]>,
Mayur Rathod <[REDACTED]>

Classification: For internal use only

Vijay,

Paul Barrett should be added to the KYC – ID and SS# attached.

See attached bank statement for Zorro.

Regards,
Brad

{cid:image001.gif@01D4621E.40F47310}

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: Vijay-A Sawant
Sent: Friday, October 12, 2018 4:11 AM
To: Stewart Oldfield <[REDACTED]>; Bradley Gillin
<[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Mayur Rathod

[REDACTED] >
Subject: RE: Assistance required in resolving Rejection Points - KYC 01977695
Importance: High

Hi Stewart,

Many thanks for the confirmation, we look forward to the documentation regarding the case dismissal which should help in resolving the rejection point below. Below two are the remaining pending items -

1) Please provide documentation that evidences signing authority for - Southern Trust Company Inc - [REDACTED] - DBSI. (KG - UNRESOLVED. After reviewing this account in NetEx, it seems that Paul S Barrett is was added as an LPOA. Please add him and provide the appropriate research etc.) - Kindly advise on this? Does Paul Barrett really need to be added? He was not added in previously approved cases. Kindly provide supporting documentation if your answer is yes.

2) Please provide proof of address for Zorro Management LLC? (KG - UNRESOLVED. Please provide independent proof) - Please advise if ok to use DB bank statement as 'independent' proof of address or provide any alternative relevant doc, if available. They are not accepting address verification from the LLC Agreement for this entity.

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: Friday, October 12, 2018 3:41 AM
To: Vijay-A Sawant <[REDACTED]>; Bradley Gillin
<[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Mayur Rathod
<[REDACTED]>
Subject: RE: Assistance required in resolving Rejection Points - KYC 01977695

I understand that this lawsuit was frivolous and has been dismissed. Will get some documentation so you can close all of these out and complete the KYCs. If there's anything else we still need to do that, let us know.

Thanks

From: Vijay-A Sawant
Sent: Tuesday, October 09, 2018 9:48 AM
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield
<[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Mayur Rathod
<[REDACTED]>
Subject: RE: Assistance required in resolving Rejection Points - KYC 01977695

Hi Brad,

As discussed, please refer to attached research report Pg 89 which indicates \$1BN lawsuit against Jeffrey by Gerber, Et Al.

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: Vijay-A Sawant

Sent: Monday, October 08, 2018 4:00 PM

To: Bradley Gillin <[REDACTED]>; Stewart Oldfield

<[REDACTED]>

Cc: Richard Iarossi <[REDACTED]>; Mayur Rathod
[REDACTED]

Subject: Assistance required in resolving Rejection Points - KYC 01977695

Good Morning Brad/Stewart,

We require your assistance today in resolving below rejection points –

Relationship: EPSTEIN, JEFFREY RELATIONSHIP Customer Name: Epstein, Jeffrey E.

Customer Number: 00000483289

Reason for Rejection:

1) Please provide documentation that evidences signing authority for - Southern Trust Company Inc - [REDACTED] – DBSI. (KG – UNRESOLVED. After reviewing this account in NetEx, it seems that Paul S Barrett is was added as an LPOA. Please add him and provide the appropriate research etc.) – Kindly advise on this? Does Paul Barrett really need to be added? He was not added in previously approved cases. Kindly provide supporting documentation if your answer is yes.

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2) Please provide proof of address for Zorro Management LLC? (KG – UNRESOLVED. Please provide independent proof) – Please advise if ok to use DB bank statement as ‘independent’ proof of address or provide any alternative relevant doc, if available. They are not accepting address verification from the LLC Agreement for this entity.

4) Please address the “Gerber Et Al V. The Financial Trust Company Et Al” lawsuit under Jeffrey Epsteins research. (KG – UNRESOLVED. As per the email from Kim Hart, the conditional approval was based on “so long as nothing further is identified through KYC and AML client adoptions”. The below is what this lawsuit is about. Please have the business escalate to Kim Hart to see if this poses any further risk and may need to be captured: - Please provide this

Investors Claim Jeffrey Epstein Built \$473M Ponzi Scheme: Shareholders filed a putative class action against financier, billionaire and convicted sex offender Jeffrey Epstein in New York federal court on Tuesday for his alleged role in developing and executing a \$473 million Ponzi scheme for which Steven Hoffenberg was convicted in 1997.

We look forward to your responses so we can submit this rejection case accordingly, thanks.

Kind Regards,

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

Vijay Sawant

KYC Case Representative
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