

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

From: Stewart Oldfield <[REDACTED]>

Date: Thu, 25 Oct 2018 14:01:33 -0400

To: Vijay-A Sawant <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>

Richard Iarossi <[REDACTED]>

Alka Babu <[REDACTED]>

Mayur Rathod <[REDACTED]>

Vinita Advani <[REDACTED]>

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]>

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

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 [REDACTED], I will respond in a separate email.

EFTA01428576

Let us know if any queries, thanks.

Kind Regards,

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

Vijay Sawant

KYC Case Representative

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Wealth Management

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Tel. [REDACTED]

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