

Subject: RE: Assistance Required in solving rejection points on KYC
Case#01946825 [C]
From: Bradley Gillin <[REDACTED]>
Date: Tue, 10 Jul 2018 11:12:19 -0400
To: Vijay-A Sawant <[REDACTED]>,
Stewart Oldfield <[REDACTED]>

Classification: Confidential

Vijay,

Let's chat tomorrow on this. I need to review first.

Regards,
Brad

{cid:image001.gif@01D4183E.DD83FA40}

Bradley Gillin
Vice President
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154

Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Friday, July 06, 2018 2:12 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>
Subject: RE: Assistance Required in solving rejection points on KYC
Case#01946825

Hi Stewart,

Sure, you & Brad can call me Monday or Tuesday next week. Monday, I am available till 10am your time and till 11:30am on Tuesday.

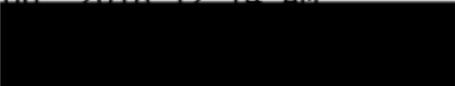
Regards,

{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



From: Stewart Oldfield
Sent: Friday, July 06, 2018 12:14 AM
To: Vijay-A Sawant 
Cc: Bradley Gillin 
Subject: RE: Assistance Required in solving rejection points on KYC Case#01946825

Let's set up a time to discuss when Brad is back next week. Some of these requests seem unreasonable, and AML should already have a lot of this info, particularly anything relating to Jeffrey Epstein personally (since we have so many accounts for him).

As for Chip's email, it predates me. And the other people on the email are no longer at DB. So I don't see how I can get hold of the full email. But again, Jeffrey has been through a complete rep risk process here and has been signed off on repeatedly by management as we've done any KYC remediation or new account opening.

Anyway, let's regroup next week so we can go back to AML with a comprehensive set of responses.

Thanks

From: Vijay-A Sawant
Sent: Wednesday, July 04, 2018 9:15 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>
Subject: Assistance Required in solving rejection points on KYC Case#01946825
Importance: High

Hello Stewart,

Hope you are well!!

I have received the following list of rejection points on KYC Case#01946825 relating to customer – Prytanee, LLC.

I need your assistance in resolving below highlighted points.

For Point 2 – As per attached constitutional doc, they (AML) are requesting to update address mentioned on Pg 11 (Royal Palms Professional Building address). I had updated address as per Pg 28 which is the IRS letter. Please confirm whether to keep this address or amend it as per Pg 11?

For Point 6 – Could you provide the email that the AML team is seeking? I only have the attached email (2nd pdf attachment) from the repositories.

For Points 8 & 9 – Kindly provide SOW info for Jeffrey & Caroline.

For Point 10 – This will be covered on Pts 8 & 9

For Point 11 – My existing comments on the DB deposit account is “the purpose of this account is to managing the monthly expenses of the company” as per previous KYC. Kindly advise, please?

For Point 13 – I am unable to procure SoS for this entity from the US Virgin Islands company registry website - Department of Licensing and Consumer Affairs. Kindly provide this please?

For Point 17 – Please provide the requested email.

Rejection:1) Please add the account number for the deposit account.

2) The address on the LLC Agreement does not match the address in the LLC Agreement. Please provide proof of address.

3) Please expand on the nature of business. What do they do with the investment in art work? Re-sell it?

4) Richard Kahn has been tagged as a signatory. However, as per the DB Resolution uploaded under KYC – 1704382, he is not listed as a signatory. If Darren is indeed not a signatory, please remove him from this KYC.

5) The Pierre Trust was created under the laws of USVI. Please re-run research with that country as well.

6) Can you please locate the full e-mail chain that proves that Chip Packards approval actually refers to Epstein’s jail sentence? The current e-mail attachment uploaded does not refer to what is actually being discussed.

7) Please attach the RDC Alert for Richard Kahn.

8) Please provide SOW verification for Jeffrey Epstein.

9) Please complete SOW narrative for Caroline and provide SOW verification

as well.

- 10) The SOW narrative for Jeffrey Epstein seems a bit outdated. It still refers to the Financial Trust Company as the SOW Company. However, based on the consent of board of directors meeting from 2013, Financial Trust Company merged into Southern Financial LLC with Southern Financial LLC as the surviving entity. Please updated the SOW narrative and provide research etc for the new entity.
- 11) Please explain in detail what this account is being used for. What are the monthly expenses of the company?
- 12) Please complete the 90 and one year values. The one year value is listed as \$1MM, however, the account currently has just less than \$200K.
- 13) Please provide COGS for Prytanee, LLC.
- 14) The account opened date in the KYC does not match the account opened date in DbForce. Please re-concile.
- 15) Please add the state to Darren Indyke and Richard Kahn's address.
- 16) Please add the TAX ID/Identification number for Caroline.
- 17) Please provide proof of delivery for the FinCEN form. Please ensure it was e-mailed by the same person who signed the form (Jeffrey Epstein).
- 18) Please provide google searches for the appropriate entities and individuals. Please ensure you use the most up to date search string that is located in the US country addendum to the KOPs.

I am working on rest of the points in the meanwhile. Thanks in advance.

Kind Regards,

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

Vijay Sawant

KYC Case Representative
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