

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

From: Mayur Rathod <[REDACTED]>

Date: Wed, 31 Oct 2018 09:13:08 -0400

To: Richard Iarossi <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]> ,

Vinita Advani <[REDACTED]> ,

Stewart Oldfield <[REDACTED]> ,

Vijay-A Sawant <[REDACTED]>

Classification: For internal use only

Hi Rich,

Hope all is well.

Following up on the below email sent by Vijay regarding pending rejection items.

Do we have any update on the same.

Thanks & Regards

{cid:[REDACTED]}

Mayur Rathod

KYC Case Representative
Deutsche CIB Centre Private Limited
Wealth Management

Floor 1, B1, DB Centre Mumbai
Nirlon Knowledge Park, Western Express Highway, Goregaon East, Mumbai
400063, India

Tel.: [REDACTED]
Email: [REDACTED]

From: Vijay-A Sawant
Sent: Friday, October 26, 2018 2:37 PM
To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi
<[REDACTED]>; Alka Babu <[REDACTED]>; Mayur Rathod
<[REDACTED]>; Vinita Advani <[REDACTED]>
Subject: RE: Pending responses on rejection cases under the SOUTHERN
FINANCIAL RELATIONSHIP
Importance: High

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 on Jeffrey Epstein's source of funds.

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

Kind Regards,

{cid: [REDACTED]}

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

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 Jockey Club, I will respond in a separate email.

Let us know if any queries, thanks.

Kind Regards,

{cid: [REDACTED]}

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]

Mobil [REDACTED]

[REDACTED]