

Subject: FW: Corp Resolution Query for SOUTHERN FINANCIAL RELATIONSHIP
From: Vijay-A Sawant <[REDACTED]>
Date: Mon, 24 Sep 2018 09:36:21 -0400
To: Bradley Gillin <[REDACTED]>, Stewart Oldfield <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>, Mayur Rathod <[REDACTED]>

Hello Brad,

As discussed earlier, we are in possession of attached docs for entity Hyperion Air, LLC, with Harry Beller name missing on Pg 2 of the single pages attachment.

We are proceeding to include Harry Beller as authorized signatory as per attached docs. Let us know if any queries, thanks.

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]
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[REDACTED]

From: Bradley Gillin
Sent: Tuesday, September 18, 2018 9:11 PM
To: Vijay-A Sawant <[REDACTED]>; Richard Iarossi <[REDACTED]>

Cc: Mayur Rathod <[REDACTED]>; Stewart Oldfield
<[REDACTED]>
Subject: RE: Neptune LLC Corp Resolution Query - KYC#01977698 [C]

Classification: Confidential

Vijay,

Confirmed. Thanks.

Regards,
Brad

{cid:image001.gif@01D44F44.79E2BCA0}

Bradley Gillin
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Deutsche Bank Wealth Management
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Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Tuesday, September 18, 2018 11:00 AM
To: Bradley Gillin <[REDACTED]>; Richard Iarossi
<[REDACTED]>
Cc: Mayur Rathod <[REDACTED]>; Stewart Oldfield
<[REDACTED]>
Subject: RE: Neptune LLC Corp Resolution Query - KYC#01977698

Hi Brad,

As per our call today, please note the below Corp Resolution issue was found in other accounts in the Sothern Financial Relationship, listed below –

- JEGE LLC
- NES LLC
- Plan D

Attached relevant docs which highlights this issue. As discussed, we will resolve this issue by using docs which reflect ALL the RP's for respective accounts. Let me know if any queries, thanks.

Kind Regards,

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

Vijay Sawant

KYC Case Representative

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From: Vijay-A Sawant

Sent: Tuesday, September 18, 2018 5:17 PM

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

<[REDACTED]>

Cc: Mayur Rathod <[REDACTED]>; Stewart Oldfield

<[REDACTED]>

Subject: Neptune LLC Corp Resolution Query - KYC#01977698

Hello Rich,

I wanted to have a quick chat regarding the attached corp resolutions for Neptune LLC when you come in today, so we can solve a rejection point in our case 1977698, thanks.

Regards,

Vijay