

Subject: FW: KYC Remediation update [I]
From: Bradley Gillin <[REDACTED]>
Date: Thu, 23 Aug 2018 11:52:57 -0400
To: Terri Sohrab <[REDACTED]>

Classification: For internal use only

See High risk list below.

From: Vijay-A Sawant
Sent: Thursday, August 23, 2018 11:52 AM
To: Bradley Gillin <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>; Alka Babu <[REDACTED]>;
Mayur Rathod <[REDACTED]>
Subject: RE: KYC Remediation update [I]
Importance: High

Hi Brad,

Following are the ongoing high risk accounts which are overdue for remediation in ascending order, their statuses below –

- AMAAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- HATTAN HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- MARSALA HOLDINGS LLC – DueDate 06/29/2018 – Pending SoS for SAMRA Holdings Ltd (refer attached 1st email)
- JCP IV QP, LLC – DueDate 06/30/2018 – Docs received yesterday, pending review. Will advise as soon as that is done.
- [REDACTED] – DueDate 07/27/2018 – Docs required as per attached 2nd email
- Cerberus Executive, LLC – DueDate 07/31/2018 – Awaiting docs as per attached 3rd email. I am aware that you have followed up with client on this, so thanks for that.

- Aircraft Acquisition Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Sillerman Investment Company III, LLC – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Tomorrow Foundation – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Elderberry X, LLC – DueDate 08/03/2018 – Pending CDD form as per attached 5th email attached.
- Sillerman Investment Corporation – DueDate 08/03/2018 – Awaiting docs as per 4th email attached.
- Epstein, Jeffrey E. – DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- Southern Financial LLC - DueDate 08/08/2018 – Awaiting docs as per attached 8th email attached.
- Southern Trust Company, Inc. - DueDate 08/08/2018 – Awaiting docs as per attached 5th email attached.
- J. Epstein Virgin Islands Foundation, Inc - DueDate 08/08/2018 – Docs & confirmation required as per attached 10th email
- GoldenTree Asset Management UK LLP- DueDate 08/09/2018 – Docs & confirmation required as per attached 11th email
- Gratitude America Ltd – DueDate 08/16/2018– Awaiting docs as per attached 6th email attached.
- Neptune, LLC – DueDate 08/16/2018 – Docs required as per attached 2nd email
- NES, LLC – DueDate 08/16/2018 – Docs & confirmation required as per attached 9th email.
- LSJE, LLC – DueDate 08/18/2018 – Awaiting docs as per attached 8th email attached.
- Hyperion Air, LLC – DueDate 08/18/2018 – Docs & confirmation required as per attached 10th email
- JEJE, Inc – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- JEJE, LLC – DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email

- Plan D, LLC – DueDate 08/18/2018 – Docs & confirmation required as per attached 9th email.
- Jeepers, Inc - DueDate 08/18/2018 – Awaiting confirmation & docs as per attached 7th email
- Mort, Inc - DueDate 08/18/2018 – Awaiting docs as per attached 6th email attached.
- Zorro Management, LLC - DueDate 08/18/2018 – Awaiting docs as per attached 5th email attached.

Happy to discuss items over a call whenever required, 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]
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[REDACTED]

From: Bradley Gillin
Sent: Thursday, August 23, 2018 2:19 AM
To: Vijay-A Sawant <[REDACTED]>
Cc: Richard Iarossi <[REDACTED]>
Subject: KYC Remediation update [I]

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Hi Vijay,

Please send an updated summary list when you can. I would like to review with the team before my MTA. Thanks.

Regards,
Brad

{cid:image001.gif@01D43B18.C97B1E50}

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