

Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]  
From: Vijay-A Sawant <[REDACTED]>  
Date: Tue, 21 Aug 2018 04:09:10 -0400  
To: Bradley Gillin <[REDACTED]>, Terri Sohrab <[REDACTED]>

Hi Brad,

Any update on the below request?

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]  
Mobile + [REDACTED]  
[REDACTED]

From: Bradley Gillin  
Sent: Saturday, August 11, 2018 6:11 PM  
To: Terri Sohrab <[REDACTED]>  
Cc: Vijay-A Sawant <[REDACTED]>  
Subject: Re: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

Vijay,

In the office all next week. I will work on clearing most of your

outstanding list before the new hires starts. Enjoy the weekend.

Regards,

Brad

Bradley Gillin

Deutsche Bank Wealth Management

345 Park Avenue, 24th Fl.

New York, NY 10154

[REDACTED]

On Aug 11, 2018, at 8:39 AM, Terri Sohrab <[REDACTED]> wrote:

Thank you for all your emails. We will work on it next wk.

we are getting help on August 20th. We are finally filling Cynthia's position.

Thank you again for all your help. We are truly grateful to have you on our team.

TS

On Aug 11, 2018, at 6:42 AM, Vijay-A Sawant <[REDACTED]> wrote:

Hello Brad,

Apologies for the delay in reviewing this account, but I have finally made it!!!! J

Upon complete review, I have completed the attached checklist. The LLC tab reflects all info on the account holder – Cerberus Executive LLC and the Guarantors Checklist reflects info on all of the 68 guarantors involved in this account. There are 4 Partnership entities, 56 LLC's & 8 Limited companies. These include the 6 entities which were not KYC'd in the previous KYC case(01690832).

I am going to try & summarize all the pending items for this account below –

For the 6 entities that were not KYC'd previously, we require the following items for the following entities in bold:

CBF Manager LP

CBF GP Holdings LLC

CBF Offshore GP Holdings LLC

Cerberus Redwood Levered Opportunities GP A LLC

Cerberus Redwood Levered Opportunities GP B LLC

Cerberus ND Credit Manager LLC

- COI or COGS dated within past 6 months
- Constitutional doc of the entity
- Beneficial Ownership
- From GBSA perspective, we also require responses to 1) Purpose of the entity, 2) Copy of Private Placement Memorandum, 3) If the entity has a website, the link, 4) The ownership hierarchy & Organizational chart & 5) Whether you believe the entity maybe an AIF
- From the Volcker perspective, we require response to "Account Type". If answer is None of the Above, then advise, Is the vehicle an operating company which does not own or propose to acquire securities having a value of 40% or more of the value of its total assets on an unconsolidated

basis? Respond in Yes or No

In addition to the above, we would require SoS or COGS for the following entities as their COI/COGS (dtd within 6 months) are not available –

1. Cerberus Executive, LP
2. Partridge Hill Overseas Management, LLC
3. Cerberus Real Estate GP, LLC
4. Cerberus Institutional Associates AEN, Ltd
5. Cerberus Institutional Associates CAL II, Ltd
6. Cerberus Institutional Associates GSI, Ltd
7. Cerberus Institutional Associates, Ltd
8. Cerberus Institutional Associates II, Ltd
9. Cerberus Institutional Associates III, Ltd
10. Cerberus Associates II, Ltd
11. Cerberus Institutional Associates SC II, Ltd

For the account holder, we do require Fincen CDD form completed and updated drivers license for Stephen A Feinberg, if there are any material changes to this account since last KYC.

Finally from the GBSA perspective, we require responses to the following questions for ALL accounts –

è Purpose of the entity

è Copy of Private Placement Memorandum

è If the entity has a website, the link

è Whether you believe the entity maybe an AIF

I have already launched KYC Case#01963845 for this account & looking forward to your feedback on the above. Request you to prioritize getting the GBSA responses sooner so we can forward to Jacksonville for completion for all 69 entities involved. Feel free to contact me if you have any questions, thanks.

Kind Regards,

<image001.gif>

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: Bradley Gillin  
Sent: Thursday, July 19, 2018 9:24 PM  
To: Vijay-A Sawant <[REDACTED]>  
Cc: Daphne Cales <[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]  
Importance: High

Classification: For internal use only

Vijay,

Attached is the Cerberus Executive zip file. Most of the attachments can also be found in KYC approved case #01690832.

The COGS can be pulled from the Delaware and Cayman websites. Do you need these for each?

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FYI – There maybe 6 guarantors that were never KYC'd. See below and attached (project redzone). Do you see these entities on the KYC?

From Lender, Jennifer Topping:

Please find attached the Cerberus credit agreement. Guarantors can be found on Schedule 3.07(c) (page 98) and the Collateral and Guarantee Agreement begins on page 111. Also attached is a Supplement to the Guarantee Agreement dated 12/22/2017 whereby 6 new guarantors were added to the facility.

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Thank you.

Regards,  
Brad

From: Vijay-A Sawant  
Sent: Thursday, July 19, 2018 9:53 AM  
To: Bradley Gillin <[REDACTED]>  
Cc: Daphne Cales <[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]  
Importance: High

Hello Brad,

As discussed yesterday, just listing the required items for this case just for each of the 62 loan guarantors –

- Formation docs (COI, COF or SoS)
- Constitutional docs (they are all LLC's, so am guessing Operating Agreements)
- GBSA forms (will be taken care with the help of remediation team from Jacksonville)

Request you to procure all docs from the lender that you can. Let me know if any queries, thanks.

Kind Regards,

<image001.gif>

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: Vanessa Thompson  
Sent: Monday, July 16, 2018 9:18 PM  
To: Vijay-A Sawant <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Morgan Trichel  
<[REDACTED]>; Vinita Advani <[REDACTED]>

Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

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Hi Vijay,

Yes, all guarantors need to be added to the KYC as related parties. They should each have their own GCIS number generated if they do not each have one yet.

All information and documentation that is required for account holders will be required for guarantors (including the GBSA form). The only exceptions are that we do not require the FinCen/CDD form for guarantors, and you also do not need to provide a document evidencing signing authority since a guarantor does not have signing authority on the loan. Please ensure you attach evidence of legal existence, ownership, and entity powers/structure; these would typically be satisfied by each guarantor's company document (operating agreement or articles of incorporation, etc.) PLUS the secretary of state printout.

I am happy to clarify if any of the above didn't make sense. Please don't hesitate to let me know if you need anything else.

Kind regards,

Vanessa Thompson, Esq.

Assistant Vice President

AML Business Risk

Deutsche Bank Wealth Management

5022 Gate Parkway, Suite 400

Jacksonville, FL 32256 USA

[REDACTED]  
[REDACTED]

From: Vijay-A Sawant  
Sent: Monday, July 16, 2018 4:30 AM  
To: Vanessa Thompson <[REDACTED]>; Morgan Trichel  
<[REDACTED]>; Vinita Advani <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with  
GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]  
Importance: High

Hi Vanessa,

Thanks for the GBSA & Fincen confirmation. Could you advise on any further updates on Guarantors?

Also advise whether all the 62 guarantors needs to be added to the KYC case as RP's?

Thanks in advance.

Kind Regards,

<image001.gif>

Vijay Sawant

KYC Case Representative

EFTA01406146

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: Vanessa Thompson  
Sent: Wednesday, July 11, 2018 10:54 PM  
To: Morgan Trichel <[REDACTED]>; Vijay-A Sawant <[REDACTED]>; Vinita Advani <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

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Hi all,

I have an inquiry out to Compliance for clarification on what exactly is required for Guarantors.

For now, I can confirm that GBSA is required for guarantors, and FinCen is not. I will follow up asap.

Kind regards,

Vanessa Thompson, Esq.  
Assistant Vice President  
AML Business Risk

Deutsche Bank Wealth Management

5022 Gate Parkway, Suite 400

Jacksonville, FL 32256 USA

[REDACTED]

[REDACTED]

From: Morgan Trichel

Sent: Wednesday, July 11, 2018 9:18 AM

To: Vijay-A Sawant <[REDACTED]>; Vinita Advani

<[REDACTED]>

Cc: Vanessa Thompson <[REDACTED]>; Bradley Gillin

<[REDACTED]>

Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

Dear Vijay,

When my colleague Vanessa comes into the office shortly I will ask her an update as she had been having that conversation and might have the answers to this at this time to this inquiry.

Kind Regards,

<image002.jpg>

Morgan Trichel

AML Business Risk Analyst

Deutsche Bank Trust Company, National Association

Deutsche Bank Wealth Management

5022 Gate Parkway #400 Jacksonville, FL 32256 USA

Tel. [REDACTED]

Email: [REDACTED]

From: Vijay-A Sawant  
Sent: Wednesday, July 11, 2018 9:16 AM  
To: Morgan Trichel <[REDACTED]>; Vinita Advani  
<[REDACTED]>  
Cc: Vanessa Thompson <[REDACTED]>; Bradley Gillin  
<[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with  
GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]  
Importance: High

Good Morning Morgan,

Any update on the below query?

Kind Regards,

<image001.gif>

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: Morgan Trichel  
Sent: Tuesday, July 10, 2018 9:17 PM  
To: Vinita Advani <[REDACTED]>  
Cc: Vanessa Thompson <[REDACTED]>; Vijay-A Sawant <[REDACTED]>  
<[REDACTED]>  
Subject: FW: 2018 Periodic Review of acct Cerberus Executive, LLC with

GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

Dear Vinita,

We are obtaining clarification on the New Guarantor requirements at this time as it is new guidance.

Please note Vanessa (cc'd here) or myself will reach out very shortly.

We hope to have clarification by End of day (EST Time).

Kind Regards,

<image002.jpg>

Morgan Trichel  
AML Business Risk Analyst  
Deutsche Bank Trust Company, National Association  
Deutsche Bank Wealth Management  
5022 Gate Parkway #400 Jacksonville, FL 32256 USA  
Tel. [REDACTED]  
Email: [REDACTED]

From: Vinita Advani  
Sent: Tuesday, July 10, 2018 11:38 AM  
To: Morgan Trichel <[REDACTED]>  
Cc: Vijay-A Sawant <[REDACTED]>  
Subject: FW: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP / query [I]

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Hi Morgan,

Can you please help me with this query.

Vijay is doing a PR for Cerberus Executive, LLC with GCIS#547540. There are 62 Guarantors (all entities).

Under the new guidance, does he need to add all of them as RPs also would he need a Fincen / GBSA for all?

Please advise.

Thanks.

Kind regards,

Vinita Advani

KYC Case Representative Manager

Deutsche CIB Centre Private Limited - Wealth Management  
Tel. [REDACTED], Mobile [REDACTED]

From: Vijay-A Sawant

Sent: Tuesday, July 10, 2018 9:01 PM

To: Vinita Advani <[REDACTED]>

Subject: FW: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP [I]

Hi Vinita,

For the below account (GCIS#547540), I have launched new KYC case#01963845 & RP's are listed in below email.

From the previously approved case #01713689, I noticed that there are 62 Loan Guarantors added as RP's.

Please note that in this LLC entity (relevant docs attached for reference), there are many non-managing members who all have equal ownership in the entity thus it is less than 10% (for this high risk entity).

Please advise if the Loan Guarantor's should be added to the new case too?

Regards,

<image001.gif>

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: Bradley Gillin  
Sent: Monday, July 09, 2018 8:47 PM  
To: Vijay-A Sawant <[REDACTED]>

Cc: Daphne Cales <[REDACTED]>  
Subject: RE: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP [I]

Classification: For internal use only

Please launch – no material changes. Will reach out for CDD form. Thanks.

Regards,  
Brad

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<image001.gif>

Bradley Gillin  
Vice President  
Deutsche Bank Wealth Management  
345 Park Avenue, 24th Fl  
New York, NY 10154  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant  
Sent: Tuesday, July 03, 2018 11:27 AM  
To: Bradley Gillin <[REDACTED]>  
Cc: Daphne Cales <[REDACTED]>  
Subject: 2018 Periodic Review of acct Cerberus Executive, LLC with GCIS#547540 under the CEREBERUS CAPITAL RELATIONSHIP  
Importance: High

Hello Brad,

This review relates to above high risk account due for remediation 7/31/2018.

Upon reviewing docs extracted from the repositories and attachments, I have completed attached checklist for this account. Main RP's identified are as follows –

Acct Holder - Cerberus Executive, LLC (a.k.a. formerly Cerberus Employees, LLC)

Managing Member – Stephen A. Feinberg

Senior Managing Director and Authorized Signatory – Mark A. Neporent

Senior Managing Director and Authorized Signatory – Jeffrey L. Lomasky

Senior Managing Director and Authorized Signatory – Seth P. Plattus

SOW Company - Cerberus Capital Management LP

All researches will be done on the above RP's so kindly advise if RP's are correctly identified in this case? I am not including the 62 non managing members as they are meant to have equal holdings in this entity and hence it will be bound to be less than 10%.

Kindly confirm if there are any material changes to this account, so case will be launched and worked on accordingly. ID docs are missing for the Senior Managing Directors, but their addresses can be obtained from previous approved KYCprints – 01713689 & 01690832. However an updated ID doc for Mr Feinberg will be required in case there are material changes to this account.

We also require Fincen form to be completed for this account, attached blank form for convenience.

I will proceed to launch this case upon your confirmation of the above, thanks.

Kind Regards,

<image001.gif>

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]

<Cerberus Checklist.xlsx>

<Fincen CDD

Form\_Certification\_Regarding\_Beneficial\_Owners\_of\_Legal\_Entity\_Customers\_FIN-  
AL.pdf>