
From: Vijay-A Sawant [REDACTED]
Sent: 7/11/2018 8:55:54 AM
To: Bradley Gillin [REDACTED]
CC: Stewart Oldfield [REDACTED]
Subject: FW: Info Required on Rejected KYC Case#01882073
Attachments: Research_Bradley_Wechsler_NEW.pdf; Research_Apollo_Global_Management_LLC_NEW.pdf; Research_Apollo_Management_LP_NEW.pdf; image001.gif

Hello Brad,

This relates to KYC Case#**01882073** which is in rejected status for high risk account – Leon D. Black with GCIS#409100 under the ELYSIUM MANAGEMENT RELATIONSHIP.

I have refreshed the researches as requested in the rejection points & requested for AML approval on alerts, wherever applicable. However, I do need your assistance in discounting off some of the negative media encountered, as follows –

Bradley J. Wechsler:

Refer attached research report for this RP. On Pg 31-32, this RP's name appears on the Watchlist and Blacklist for Ceasing Trade Orders in all of Canada. This has been issued by the Canadian regulatory authorities. Our RP is based in NY, but considering this recent offence reported, was wondering if you are aware of this and whether it can be discounted off or not? Kindly advise.

Apollo Global Management LLC:

Please refer attached research report for this RP. On Pg 157, there is a court case filed by Juan Perdomo, on which I was unable to get any info online. Could you advise on this new court case?

On Pg 158-160, another court case filed in Nevada District Court against Apollo which has limited information. Please advise.

On 161-162, another court case filed in California district court by David McDonald. I could not find much information on this, please advise.

On 163-164, court case filed in New York by Core Litigation Trust & Harbinger Capital. Could you advise on this please?

Apollo Global Management LP:

Please refer attached research report for this RP. On Pg 48, a complaint filed against Rashid, Mohammed Ali, a former senior partner at Apollo in the Securities & Exchange Commission for misusing client funds for personal gain. Information incomplete on this case and could not find anything online. Please advise.

On Pg 49-50, a fraud case filed against this RP for damages. This case seems still active, do you have any info on this? Can we discount it?

Please note your feedback will allow me to discount the negative media which is the only pending item on this case, at the moment (other than the pending AML approval) so I look forward to your feedback. Thanks in advance.

Kind Regards,



Vijay Sawant

KYC Case Representative