

KYC Case # : **01651789**

Status : **6. Approved**

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details			
Relationship Name:	EPSTEIN, JEFFREY RELATIONSHIP:00000463290	Booking Center:	New York
Relationship Manager:	Stewart Oldfield		
Relationship to PWM:	<input type="checkbox"/> New PWM Relationship		<input type="checkbox"/> Existing PWM Relationship
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile: Update of KYC #01133113. Beneficiaries have changed		
How Was the Client(s) Introduced? How long has the RM personally known the client?	<input checked="" type="checkbox"/> Client Referral	<input type="checkbox"/> RM Prospect	<input type="checkbox"/> Intermediary/FIM
	<input type="checkbox"/> Other Source (CIB, etc.)		
Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Jeffrey Epstein (President of Gratitude America) is a current client of the bank and reached out to Stewart Oldfield to update the beneficiaries to his Butterfly Trust.			
Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No
	(If Yes, describe):		
List all existing and new accounts involved in this relationship			
	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	<input checked="" type="checkbox"/>	Butterfly Trust -- Checking	10/9/2013
2	<input checked="" type="checkbox"/>	Butterfly Trust -- Money Market	10/9/2013
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Harry Beller		Preferred method of contact (indicate phone no., fax no., e-mail address, etc.): 

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One sheet must be established for each account to be opened

2. Account Ownership Summary														
Account Name:			Butterfly Trust -- Checking							Acct. Number (if available):				
Account Manager:			Paul Morris											
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a checking account to hold funds for the trust.														
Indicate from where the assets are expected to arrive?														
<input type="checkbox"/> DB Group: Same Booking Center (indicate account number): <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan. New York, NY <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):														
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? Roughly 5-10 inflows and outflows per month ranging from \$1,000 to \$20,000														
What is the expected volume of assets and currency for the account approx. 90 days after opening?										Currency	USD			
What is the expected volume of assets and currency for the account approx. one year after opening?									5,000,000.00	Currency	USD			
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?									<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
Please list all parties related to the account. For each party: • Check if a source of wealth description is required for the party. • Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected). • If none of the check boxes apply, describe the party's relation to the account in the "Other" column. • Always describe the relationship between the parties in the last column. • Please drill down to the ultimate/underlying Beneficial Owner(s).														
Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Grantor;
2	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;
3	<input type="checkbox"/>	<input type="checkbox"/>	Erika Kellerhals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;
4	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Butterfly Trust	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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2. Account Ownership Summary														
Account Name:			Butterfly Trust -- Money Market							Acct. Number (if available):				
Account Manager:			Paul Morris											
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Money Market account. To hold cash for the trust to earn interest														
Indicate from where the assets are expected to arrive?														
<input type="checkbox"/> DB Group: Same Booking Center (indicate account number): <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan. New York, NY <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):														
What is the expected size and frequency of regular inflows and outflows for the account (Indicate estimated number and volume per month)?: Roughly 1-2 inflows and outflows per month ranging from \$1,000 to \$10,000														
What is the expected volume of assets and currency for the account approx. 90 days after opening?												Currency		USD
What is the expected volume of assets and currency for the account approx. one year after opening?									1,000,000.00			Currency		USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?									<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
Please list all parties related to the account. For each party: • Check if a source of wealth description is required for the party. • Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected). • If none of the check boxes apply, describe the party's relation to the account in the "Other" column. • Always describe the relationship between the parties in the last column. • Please drill down to the ultimate/underlying Beneficial Owner(s).														
Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25% Non-PIC entity (indicate ownership %))	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Grantor;
2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Butterfly Trust	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;
4	<input type="checkbox"/>	<input type="checkbox"/>	Erika Kellerhals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Jeffrey Epstein - 00000483289	Date of Birth:	1/20/1953		
Country of Residence:	USVI	Country of Citizenship:	USA		
Address of primary residence:	Little Saint James Saint Thomas 00802	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Self Employed	Tax ID / SSN:	090-44-3348		
Current Employer:	Southern Financial LLC	Position/Title/Rank:	President		
Address of employer:	6100 Red Hook Quarter B3 St. Thomas 00802				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Paul Morris	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		9/13/2013
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:					
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)					
Nature of the Individual's Business:	Private investments				
Primary Country of source of wealth/source of Funds?					
Primary industry of source of Wealth/Source of Funds?					
Summarize Source of Wealth:	<input checked="" type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input checked="" type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:				
Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.) Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms					
Estimated Annual Income(\$):	10,000,000.00	Estimated amount of investable assets(\$):	\$50 MM - 100 MM		
Estimated Net Worth(\$):	\$100 MM - 500 MM	Amount of assets planned to invest with PWM(\$):	5,000,000.00		
Other Known Financial Institutions:					
Institution:	JPM	Country:	USA	Est. Assets Under Mgt:	120,000,000.00

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SDNY_GM_00039988

7/30/2019

DB-SDNY-0002812

EFTA_00150597

EFTA01284075

Institution:	Deutsche Bank	Country:	USA	Est. Assets Under Mgt:	70,000,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Please indicate the family situation of the individual (marital status, other family members, etc.):					

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SDNY_GM_00039989

7/30/2019

DB-SDNY-0002813

EFTA_00150598

EFTA01284076

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Harry Beller - [REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	USA		Country of Citizenship:	USA	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	HBRK Associates, Inc		Position/Title/Rank:		
Address of employer:	[REDACTED]				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:					
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)					
Nature of the Individual's Business:					
Primary Country of source of wealth/source of Funds?					
Primary industry of source of Wealth/Source of Funds?					
Summarize Source of Wealth: <input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:					
Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)					
Estimated Annual Income(\$):		Estimated amount of investable assets(\$):			
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):			
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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Please indicate the family situation of the individual (marital status, other family members, etc.):

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SDNY_GM_00039991
7/30/2019
DB-SDNY-0002815
EFTA_00150600

EFTA01284078

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Erika Kellerhals [REDACTED]	Date of Birth:	[REDACTED]		
Country of Residence:	USA	Country of Citizenship:	USA		
Address of primary residence:	[REDACTED]	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Attorney	Tax ID / SSN:	[REDACTED]		
Current Employer:	Kellerhals Ferguson Kroblin PLLC	Position/Title/Rank:			
Address of employer:	[REDACTED]				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:					
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)					
Nature of the Individual's Business:					
Primary Country of source of wealth/source of Funds?					
Primary industry of source of Wealth/Source of Funds?					
Summarize Source of Wealth:		<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:			
Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)					
Estimated Annual Income(\$):		Estimated amount of investable assets(\$):			
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):			
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:	Butterfly Trust - 00000486426		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	12/27/2006
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 United States	U.S. TIN/EIN:	26-6639711

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:

This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals. The beneficiaries are:

[Redacted]

Darren Indyke
2 Kean Court
Livingston, NJ 07039

Karyna Shullak
301 East 66th Street
New York, NY 10065

Richard Kahn
130 East 75th Street
New York, NY 10021

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

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Attached are the original trust agreement and the addition/deletion of beneficiary instrument to support this change. According to the original trust agreement, the trustees have the right during the lifetime of the Grantor to delete or add beneficiaries under Article 3 of the agreement.

Please indicate how ownership of the legal entity is reflected: trust agreement

Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (*if not the same persons*): This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals.

To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)? Yes No

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	Trust account
Countries where business is transacted:	USA, USVI
Number of employees:	N/A

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Primary Country of source of wealth/source of Funds?					
Primary industry of source of Wealth/Source of Funds?					
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): Trust account with Jeffrey Epstein as Grantor. Initial \$100 given to the account to fund. The funds for this trust account come from investments made by Jeffrey Epstein. His wealth profile is filled out. The trust is for the benefit of the 6 named individuals					
Estimated gross receipts █ (\$):	4,500,000.00				
Estimated net profit █ (\$):	4,500,000.00				
Estimated investable assets (\$):	\$5 MM - 10 MM				
Potential Amount to be invested with PWM (\$):	4,500,000.00				
Other Known Financial Institutions:					
Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	4,500,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l PART B



Relationship Name	EPSTEIN, JEFFREY RELATIONSHIP				
Risk Rating Comments:					
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk
					Yoonsun Chung
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee		<input type="checkbox"/> Bearer Shares	

4. Attachments			
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License	<input checked="" type="checkbox"/> Passport	<input type="checkbox"/> National/State ID <input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
C. Please indicate the results of the database searches performed			
RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please summarize any negative results from the database searches indicated above: BUTTERFLY TRUST: Negative Media: All negative media pertains to a company called the Butterfly Trust in Europe. This is not our client. Our client is an actual trust created by a Grantor and not a company. No court cases			
JEFFREY EPSTEIN: Previously approved KYC #: 01082293 & 01121718 All negative media pertains to court cases which have been previously approved in the above mentioned KYCs. Court Cases have been closed			
D. RDC alerts for Richard Kahn came up but they were all false positives as the age and locations of the alerts did not match the age and address on file.			
HARRY BELLER: No negative media Court case lists him as a defendant for being chief of medical staff for Jackson Memorial Hospital. The court concluded that the plaintiff had no cognizable claim that his civil rights has been violated, but refused to dismiss his complaint as to his antitrust claim Defendants' motion was thus granted in part and denied in part. The defendants listed in this case have not committed any illegal acts of conduct in any way. The case was settled on 6/30/1987.			
ERIKA KELLERHALS: No negative media Erika is an attorney and listed as legal counsel for several court case. Court case to appeal from a decision of the bankruptcy court. Appellee trustee moved to dismiss the appeal for failure to prosecute under Fed R. of the six Poulis factors, five weighed in favor of dismissal and it was granted. Another court case for dissolving of marriage and property settlement. The case was concluded.			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
F. To the best of your knowledge, has the customer ever been involved in any past litigation against Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
G. Does the client or related party have any financial or other association / interactions within countries or regimes sanctioned by the Office of Foreign Assets Control (OFAC)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
H. Does the client or related party have any financial or other association/ interactions within high risk countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I. Corporate Documentation Attached (Legal Entities Only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable		

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https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?id=01N150000000D9Di&e...
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SDNY_GM_00039995

7/30/2019

DB-SDNY-0002819

EFTA_00150604

EFTA01284082

J. Undisclosed Principal Form Complete (Intermediaries Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
K. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:	
L. Special Risk Factors	
Does the account have Nexus to Special Risk Countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the account structure unusually complex?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication this could be a prohibited business relationship?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are the bearer shares identified subject to acceptable controls?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

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M. Case Comments		
Created By	Date	Comments
Cynthia Rodriguez	2/2/117 9:55 AM	Email confirmation from Jason Shames is attached.
Cynthia Rodriguez	12/30/116 11:29 AM	During the lifetime of the grantor, the trustees have the right to add/delete beneficiaries under Article Third of the Trust agreement by an acknowledged instrument delivered to the Grantor. Attached is the acknowledged instrument for the addition and deletion of the beneficiaries, signed by the trustees and the grantor.
Cynthia Rodriguez	2/1/117 11:23 AM	Amended list of beneficiaries attached to include [REDACTED]. Research is also attached.
Cynthia Rodriguez	1/30/117 2:45 PM	Jason Shames advised on 1/03/2017 that fully executed addition of beneficiary forms by the trustee, along with acknowledgment signature from the grantor are what is needed to make changes to the beneficiaries of the trust.
Cynthia Rodriguez	12/19/116 5:02 PM	Attached are the supporting documents for the addition/deletion of benes of this trust.

ONSHORE APPROVALS			
Client Facing Professional (CFP):	terri sohrab	(Signature) terri sohrab	12/15/2016
Office Director/Business Head:	Armen Brash	(Signature) Armen Brash	12/15/2016
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Ricardo Mendoza	(Signature) Ricardo Mendoza	2/2/2017
	Yoonsun Chung	(Signature) Yoonsun Chung	2/2/2017

LATAM/INTERNATIONAL APPROVALS			
Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: Deutsche Bank Private Wealth Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals (1) (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately

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documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

DECLARATION FOR ALL SIGNERS OF THIS FORM: To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM Global KYC Policy

(1) Client Facing Professionals (CFP 's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

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