

KYC Case # : 

Status : **6. Approved**

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

1. Relationship Details			
Relationship Name:	SOUTHERN FINANCIAL RELATIONSHIP 	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:		
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/FJM
	<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. He and Darren Indyke reached out to Stew Oldfield on 12/12/2016 to open a checking account for its newest entity, Zorro Management LLC			
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"/>	Zorro Management, LLC - Deposit	12/27/2016
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Darren Indyke		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:			Zorro Management, LLC - Deposit							Acct. Number (if available):				
Account Manager:			stewart oldfield											
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? the purpose of this account is to manage the daily expenses of the company														
Indicate from where the assets are expected to arrive?														
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): 35269691 <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution - (Indicate name & location): <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)? 0-10 inflows/outflows between 50k and 100k on a monthly basis														
What is the expected volume of assets and currency for the account approx. 90 days after opening?										1000000		Currency		usd
What is the expected volume of assets and currency for the account approx. one year after opening?										1000000		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: <ul style="list-style-type: none"> • 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 of Source of Wealth required	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 for 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Zorro Management, LLC	<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"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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"/>	Darren Indyke	<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"/>	<input type="checkbox"/>	

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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:	[REDACTED]		
Current Employer:	Southern Financial LLC	Position/Title/Rank:	President		
Address of employer:	6100 Red Hook Quarter B3 St. Thomas United States 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-recognized 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:	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(\$):	\$500 MM +	Amount of assets planned to invest with PWM(\$):			
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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Institution:		Country:		Est. Assets Under Mgt:	
Please indicate the family situation of the individual (marital status, other family members, etc.):					

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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:	Darren Indyke - 00000486405		Date of Birth:	2/19/1965	
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:	Lawyer		Tax ID / SSN:	[REDACTED]	
Current Employer:	Southern Financial LLC		Position/Title/Rank:		
Address of employer:	575 Lexington Ave, 4th Fl Livingston NY United States 10022				
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:
Stewart Oldfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		12/12/2016
	<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:

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

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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:	Zorro Management, LLC - 00000550331		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" 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):	LLC	Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	12/14/2016
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter, B3 St. Thomas; USVI 00802 United States	U.S. TIN/EIN:	[REDACTED]
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.: Jeffrey Epstein is the sole manager and owner of this entity.			
Signors on this account will be: Jeffrey Epstein Darren Indyke			
Please indicate how ownership of the legal entity is reflected: <input type="checkbox"/> 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): Jeffrey Epstein is the sole manager and owner of this entity. Signors on this account will be: Jeffrey Epstein Darren Indyke			
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 <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	a real estate holding company. It is a company formed to run and operate all activities associated with a property that Jeffrey Epstein owns in the US Virgin islands.		
Countries where business is transacted:	USA		
Number of employees:	1+		

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): This company is funded by Jeffrey Epstein's personal wealth				
Estimated gross receipts p.a.(\$):	1,000,000.00			
Estimated net profit p.a. (\$):	1,000,000.00			
Estimated investable assets (\$):	\$1 MM - 2 MM			
Potential Amount to be invested with PWM (\$):				
Other Known Financial Institutions:				
Institution:		Country:		Est. Assets Under Mgt:
Institution:		Country:		Est. Assets Under Mgt:

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Institution:		Country:		Est. Assets Under Mgt:	
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SDNY_GM_00040005
7/30/2019
DB-SDNY-0002829
EFTA_00150614

EFTA01284092

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

Relationship Name	SOUTHERN FINANCIAL 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" 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 type="checkbox"/> Yes <input checked="" 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
D. Please summarize any negative results from the database searches indicated above:			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input type="checkbox"/> Yes <input checked="" 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		
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	12/15/16 2:42 PM	Recent research for Darren Indyke and Jeffrey Epstein can be found in case 01651789.

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:	Dimitra Manley	(Signature) Dimitra Manley	12/20/2016
	Yoonsun Chung	(Signature) Yoonsun Chung	12/20/2016

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 (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 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.

Deutsche Bank Americas New York

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7/30/2019

DB-SDNY-0002832

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