

Vijay-A Sawant

From: Stewart Oldfield
Sent: Friday, September 07, 2018 6:32 PM
To: Vijay-A Sawant
Cc: Bradley Gillin
Subject: FW: Southern Financial LLC update [SC]

Follow Up Flag: Follow up
Flag Status: Flagged

From: Kimberly Hart
Sent: Monday, October 02, 2017 4:53 PM
To: Martin Zeman <martin.zeman@db.com>; Keith Buckholz <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>; Xavier Avila <[REDACTED]>; Daniel-E Kaiser <[REDACTED]>
Subject: RE: Southern Financial LLC update [SC]

Classification: **Strictly Confidential**

Jeffrey Epstein has been a client since 2013 and we have a number of open active accounts for him and his related entities including Southern Financial LLC. At the time he was onboarded, the potential reputational risk concerns were escalated to regional management by Chip Packard, Head WM Americas, including John Caruso, Head AML Compliance Americas. Chip was given the go ahead to proceed "so long as nothing further is identified through KYC and AML client adoption". A number of KYC updates have been processed for Mr. Epstein since 2013 – the latest in August 2017. All the KYCs have been approved and all alerts have been cleared.

If there are new concerns regarding the client, please let me know so I can escalate. If the concerns are regarding his previous convictions, I just want to confirm that they have been disclosed and cleared by AML Compliance.

Regards,
Kim



Kimberly Hart
Managing Director | Regional Control Officer
Wealth Management Americas

Deutsche Bank Trust Company Americas
60 Wall Street, 12th Floor, New York, NY 10005
[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Martin Zeman
Sent: Monday, October 02, 2017 11:22 AM

To: Kimberly Hart [REDACTED]
Cc: Stewart Oldfield [REDACTED]; Xavier Avila <[REDACTED]>
Subject: Southern Financial LLC update [1]

Classification: **For internal use only**

Dear Kim,

I am following up on the discussion we had together with Dan Kaiser last week about Jeffrey Epstein accounts that will be traded by Paul Barrett from Alpha Capital. Did you have a chance to look at it?

Thank you,
Martin



Martin Zeman
Director | Key Client Partners

Deutsche Bank Wealth Management
DB Securities Inc
345 Park Avenue, 10154-0004 New York, NY, USA



KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank. Key Client Partners (KCP) products, investment ideas and solutions and related matters discussed herein are provided for discussion purposes only, and strictly on a non-advisory basis. The KCP Americas desk does not provide investment advice. The information set forth herein is confidential and personal to you and is being presented for your information and for discussion purposes only. Any reproduction and/or redistribution thereof (in whole or in part) or disclosure of its content without our written consent is strictly forbidden. This communication does not create any legally binding obligation on the part of DBSI or any of its affiliates.