

KYC Case # : [REDACTED]

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:00000483290	Booking Center:	New York
Relationship Manager:	Paul Morris		
Relationship to PWM:	<input checked="" 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 type="checkbox"/> Client Referral	<input checked="" 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 is a current client of the Bank. Wants to open a new account. Introduction details of Paul and Jeffrey: Jeffrey Epstein was a client of Paul's at JP Morgan. Paul and Jeffrey Epstein had a mutual friend/colleague who introduced them while Paul was at JPMorgan. Over the course of a few meetings Paul was able to get Jeffrey to bring some of his funds over to Deutsche Bank			
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"/>	Neptune LLC	10/16/2013
2	<input checked="" type="checkbox"/>	Neptune LLC -- Money Market	10/16/2013
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.): [REDACTED]

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DB-SDNY-0027637

EFTA_00175315

EFTA01299115

One sheet must be established for each account to be opened

2. Account Ownership Summary												
Account Name:		Neptune LLC					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)? Checking account used for the daily needs of running Jeffrey Epstein's home in NYC.												
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 <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 10 inflows and outflows per month ranging from \$,1000 to \$10,000												
What is the expected volume of assets and currency for the account approx. 90 days after opening?			5000				Currency		USD			
What is the expected volume of assets and currency for the account approx. one year after opening?			10000				Currency		USD			
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	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 %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neptune, LLC	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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DB-SDNY-0027638

EFTA_00175316

EFTA01299116

2. Account Ownership Summary												
Account Name:		Neptune LLC -- 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 to hold funds necessary to run the costs associated with Jeffrey Epstein's NYC home												
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. NYC <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 1-3 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?		5000					Currency			USD		
What is the expected volume of assets and currency for the account approx. one year after opening?		10,000					Currency			USD		
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	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 %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neptune, LLC	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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DB-SDNY-0027639

EFTA_00175317

EFTA01299117

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:	Litte Saint James Saint Thomas 00802 US Virgin Islands				
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 USVI 00802				
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"/>		

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		
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(\$):	
Other Known Financial Institutions:			

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	200,000,000.00
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 INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Harry Beller - 00000487202		Date of Birth:	[REDACTED]	
Country of Residence:	USA		Country of Citizenship:	USA	
Address of primary residence:	12 Golar Drive Monsey NY 10952 USA				
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	HBRK Associates		Position/Title/Rank:		
Address of employer:	575 Lexington Ave, 4th Fl New York NY USA 10022				
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:					
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:	

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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.):					

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:	Neptune, LLC - 00000487264		
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):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	12/21/2011
Address (city, street, post code):	6100 Red Hook, Quarter B3 St, Thomas 00802 USVI	U.S. TIN/EIN:	
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.:			
Single member LLC. Jeffrey Epstein is the sole member			
Please indicate how ownership of the legal entity is reflected: Single member LLC. Capital contribution of \$,1000 was made by Jeffrey Epstein who is the sole member			
<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): Single member LLC. Jeffrey Epstein is the sole member			
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:	This LLC was formed to hold the funds necessary to cover the costs and taxes associated with running Jeffrey Epstein's NYC home		
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)					
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):					
This LLC is funded my contributions made by Jeffrey Epstein.					
Estimated gross receipts p.a.(\$):					
Estimated net profit p.a. (\$):					
Estimated investable assets (\$):	<\$1 MM				
Potential Amount to be invested with PWM (\$):	20,000.00				
Other Known Financial Institutions:					
Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	20,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP					
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	Janice Franklin

(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
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4. Attachments

A. Type of Photo ID Provided Drivers License Passport National/State ID Other

B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached Yes 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 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

Please summarize any negative results from the database searches indicated above: NEPTUNE LLC:
 See attached AML Clearance -- The RDC alert was a false hit
 Negative Media: All negative media is not our client. All negative media either predates our client's formation (2011) or is another LLC. Our Neptune LLC is a single member LLC that runs the operations of a home

JEFFREY EPSTEIN:
 D. See KYC #01082293 and #01121718 for previous KYC approval and all pertaining documents

HARRY BELLER:
 Negative Media: Not our client. All negative media pertains to an environmental microbiologist. Our client is an accountant
 Court Cases:
 #1: Disposed in 1987
 All other cases are not our client. The other court cases refer to a Dr. Harry Beller. Our client is an accountant

E. To the best of your knowledge, has the client ever been convicted of a criminal offense? Yes 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) Yes 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)? Yes No

H. Does the client or related party have any financial or other association/ interactions within high risk countries? Yes No

I. Corporate Documentation Attached (Legal Entities Only) Yes No Not Applicable

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DB-SDNY-0027645

EFTA_00175323

EFTA01299123

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:	

M. Case Comments			
No records to display.			

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Paul Morris	(Signature) Paul Morris	10/8/2013
Office Director/Business Head:	Brian M. Biggar	(Signature) Brian M. Biggar	10/8/2013
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Jacqueline Lightbody	(Signature) Jacqueline Lightbody	10/17/2013
	Janice Franklin	(Signature) Janice Franklin	10/17/2013

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.

