

Classification: For internal use only

Hi Amanda,

AML Compliance has reviewed the RDC and PCR alerts dated 5/28/2013 pertaining to our prospective client, Jeffrey Epstein. The RDC Alerts are positive matches for our prospect as it pertains to negative information based on reputation. However, AML Compliance clears these alerts based on the attached email approval from Chip Packard with the support of senior management on an AML reputational and legal perspective to onboard the prospective client, Jeffrey Epstein.

The two PCR alerts involve a Jeffrey S Epstein that lives in Massachusetts. Our prospective client has a different middle name, Edward, and resides in New York and Florida. Accordingly, AML Compliance CLEARS these PCR alerts as false positives.

Best regards,
Andrew J. Kisz



Andrew J. Kisz
Associate | AML Compliance Officer

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Asset & Wealth Management
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA
Tel. [REDACTED]
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Passion to Perform

From: Amanda Kirby/[REDACTED]
To: PWMUS AMLKYC/[REDACTED]
Cc: Andrea Klingenberg/[REDACTED]
Date: 08/12/2013 05:42 PM
Subject: Fw: Jeffrey Epstein __RDC Alert,Jeffrey Epstein __PCR Alert [!]

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Hi,

I realized I never heard back for the below clearance approval. Please let me know as soon as possible as we are now moving ahead with this client and would like to open accounts ASAP.

Thank you,
Amanda

SDNY_GM_00065016

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DB-SDNY-0027841
EFTA_00175516

EFTA01299236

----- Forwarded by Amanda Kirby/[REDACTED] on 08/12/2013 05:38 PM -----

From: Amanda Kirby/[REDACTED]
To: PWMUS AMLKYC/[REDACTED]
Date: 06/12/2013 10:54 AM
Subject: Fw: Jeffrey Epstein __RDC Alert,Jeffrey Epstein__PCR Alert [!]

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Hi,

Please see RDC Alerts below:

RDC Alert #1:

- This is our client. The accounts which we will be opening will not be in Jeffrey Epstein's name. They will be in the name of 2 companies he controls and should not pose a reputational risk
- Also attached is an email from Chip Packard saying that he does not believe that there is any reputational risk in taking this client on.

PCR Alert #1 and #2:

- Not our client. Our client is Jeffrey E Epstein and these alerts pertain to Jeffrey S Epstein.

Please approve clearance

Kind regards,
Amanda Kirby



Amanda Kirby
Associate

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Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

----- Forwarded by Amanda Kirby/[REDACTED] on 06/12/2013 10:52 AM -----

From: PWM BIS-Research/[REDACTED]
To: Amanda Kirby/[REDACTED]
Cc: PWMUS AMLKYC/[REDACTED]
Date: 05/29/2013 11:43 AM
Subject: Jeffrey Epstein __RDC Alert,Jeffrey Epstein__PCR Alert [!]

SDNY_GM_00065017

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DB-SDNY-0027842
EFTA_00175517

EFTA01299237

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Hi Amanda,

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue.

Include copies of all responses along with your KYC.

Jeffrey Epstein __RDC Alert

	Jeffrey Epstein __RDC Alert.pdf		Jeffrey
Epstein __RDC Alert.1.pdf		Chip approval.pdf	

Jeffrey Epstein__PCR Alert

	Jeffrey Epstein__PCR Alert.pdf		Jeffrey Epstein
__PCR Alert 2.pdf		Jeffrey Epstein__PCR Alert.1.pdf	

Thanks
Ashish

SDNY_GM_00065018

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DB-SDNY-0027843
EFTA_00175518

EFTA01299238