

Mayur Rathod

From: Yoonsun Chung
Sent: Wednesday, November 14, 2018 7:04 PM
To: Kimberly Hart; Mayur Rathod
Cc: Andrew Gallivan; Stewart Oldfield; Richard Iarossi; Bradley Gillin
Subject: RE: Epstein - negative media [I] [C]

Thank you Kim.

Yoonsun Chung
Vice President | AML Compliance

Deutsche Bank
60 Wall Street, 10005-2836 New York, NY, USA

[REDACTED]
[REDACTED]
[REDACTED]

From: Kimberly Hart <[REDACTED]@db.com>
Date: Wednesday, Nov 14, 2018, 8:16 AM
To: Yoonsun Chung <[REDACTED]>, Mayur Rathod <[REDACTED]>
Cc: Andrew Gallivan <[REDACTED]>, Stewart Oldfield <[REDACTED]>, Richard Iarossi <[REDACTED]>, Bradley Gillin <[REDACTED]>
Subject: FW: Epstein - negative media [I] [C]

Classification: **Confidential**

Yoonsun/Mayur –

I received the below email from Andrew Gallivan confirming his comfort with continuing the Epstein relationship. I do not see any new allegations that have not been previously considered and risk accepted. The recent lawsuit appears to be unfounded and was promptly withdrawn. Please let me know if you are seeing something additional that should be considered and escalated. Otherwise, I think that we can proceed based on the previous clearance.

Regards,
Kim



Kimberly Hart
Managing Director | Divisional Control Officer
Wealth Management Americas

Deutsche Bank Trust Company Americas
345 Park Avenue, 14th floor, New York, NY 10154

[REDACTED]
[REDACTED]
[REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Andrew Gallivan
Sent: Tuesday, November 13, 2018 10:38 AM
To: Stewart Oldfield <[REDACTED]>; Kimberly Hart <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>
Subject: RE: Epstein - negative media [I] [C]

Classification: **Confidential**

Based on the below I approve continuing this relationship

Regards,
Andrew Gallivan



Andrew Gallivan
Deutsche Bank Trust Company Americas
345 Park Avenue, 10154-0004 New York, NY, USA
[REDACTED]
[REDACTED]
[REDACTED]
Email [REDACTED]

#PositiveImpact

From: Stewart Oldfield
Sent: Wednesday, November 07, 2018 5:12 PM
To: Andrew Gallivan <[REDACTED]>; Kimberly Hart <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>
Subject: FW: Epstein - negative media [I]

I have more info as outlined below based on a conversation with Jeffrey's lawyer.

Andrew – please confirm that you remain comfortable with the business risk here.
Kim – please forward as necessary

Summary of situation:

This was a frivolous lawsuit that was quickly withdrawn by the plaintiff attorneys upon response from Epstein's lawyers. The person ultimately behind the lawsuit was Steven Hoffenberg, who was convicted of fraud and served a long jail sentence.

Hoffenberg was called "unstable" and "manic" by the judge that sentenced him. He repeatedly filed lawsuits against the government from jail and against other people (including his lawyers), all of which were dismissed.

He convinced the plaintiffs to file this suit as a class action. That way Hoffenberg wouldn't be the plaintiff himself. The original matter here was thoroughly investigated by the SEC and others and Hoffenberg was the only person deemed to have been involved.

If you Google Hoffenberg, it's easy to find the full history here. I think we should accept this matter as closed on our side.

Thanks

From: Richard Iarossi

Sent: Thursday, October 18, 2018 5:22 PM

To: Kimberly Hart <[REDACTED]>

Cc: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>

Subject: RE: Epstein - negative media [I]

Classification: **For internal use only**

Hi Kim,

AML Compliance (Yoonsun) has requested that we receive your approval to move forward on all Southern Financial/Epstein KYC remediation's.

As per your discussions with Stew regarding the latest lawsuit against Jeffrey, please find the attached 'Notice of Dismissal' dated 10/5/18.

As this occurred after your approval on 10/2/17, please confirm again that we are comfortable moving forward.

Thank You,
Rich

Richard Iarossi
Assistant Vice President

Deutsche Bank Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154
[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Kimberly Hart

Sent: Tuesday, October 09, 2018 12:15 PM

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CONFIDENTIAL

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To: Stewart Oldfield <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>
Subject: RE: Epstein - negative media [1]

Classification: **For internal use only**

Was this returned as an RDC alert – or part of the regular Lexis/Nexis due diligence?



Kimberly Hart
Managing Director | Divisional Control Officer
Wealth Management Americas

Deutsche Bank Trust Company Americas
345 Park Avenue, 14th floor, New York, NY 10154

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Stewart Oldfield
Sent: Tuesday, October 09, 2018 11:03 AM
To: Kimberly Hart <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>
Subject: Epstein - negative media

Kim,

This just surfaced in our latest KYC reviews. Let's discuss what info I need from the client and then next steps. Thanks

http://www.classactionsreporter.com/sites/default/files/towers_ponzi_scheme_complaint.pdf



Stewart Oldfield, CFA, CAIA
Director

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, New York, NY 10154

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