

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



|                                      |                                         |                                                   |                                   |                                        |                                               |               |
|--------------------------------------|-----------------------------------------|---------------------------------------------------|-----------------------------------|----------------------------------------|-----------------------------------------------|---------------|
| Relationship Name                    | EPSTEIN, JEFFREY 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 | 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No       |
| PCR checks complete                                                                                                                                                            | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | negative results found                       | <input checked="" type="checkbox"/> Yes <input 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: <b>DARREN INDYKE:</b><br>Approved in KYC # [REDACTED]                                     |                                                                     |                                              |                                                                           |
| HARRY BELLER:<br>Approved in KYC # [REDACTED]                                                                                                                                  |                                                                     |                                              |                                                                           |
| JEANNE BRENNAN:<br>Jeanne was previously approved in KYC # [REDACTED]                                                                                                          |                                                                     |                                              |                                                                           |
| JEFFREY EPSTEIN:<br>RDC Alert # 1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris<br>PCR Alert # 1/2 -- Not our client<br>All Cases Closed               |                                                                     |                                              |                                                                           |
| SOUTHERN FINANCIAL LLC:<br>No negative media<br>No court cases                                                                                                                 |                                                                     |                                              |                                                                           |
| SOUTHERN TRUST INC:<br>No negative media<br>Court Case -- Not our client.                                                                                                      |                                                                     |                                              |                                                                           |
| FINANCIAL INFOMATICS INC:<br>No negative media<br>No court cases                                                                                                               |                                                                     |                                              |                                                                           |
| J. Epstein & Co.<br>All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML Clearance attached<br>Court Cases have been closed |                                                                     |                                              |                                                                           |
| FINANCIAL TRUST & CO<br>RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been cleared by Compliance and is attached             |                                                                     |                                              |                                                                           |