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

Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP					
Risk Rating Comments:						
Booking Center	☑ NY	☐ NY/Offshore	☐ Offshore	☐ Moderate Risk	☑ High Risk	Yoonsun Chung
						(Compliance Signature)

☐ DB Employee	☐ DB Managed PIC	☐ DB is Trustee/Co-Trustee	☐ Bearer Shares

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	☑ Yes ☐ No	negative results found	☐ Yes ☑ No	
	PCR checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No	
	OFAC checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No	
	BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	☑ Yes ☐ No	negative results found	☐ Yes ☑ No	
	Denial Orders checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No	
	Martindale-Hubbell searched (Lawyers/Law Firms only)	☐ Yes ☑ No	negative results found	☐ Yes ☐ No	

D. Please summarize any negative results from the database searches indicated above: GRATITUDE AMERICA:
No negative media
No court cases

DARREN INDYKE:
Negative media mentions his name as an owner of a building. The negative media is not about him individually but about the others mentioned.
No court cases

JEFFREY EPSTEIN:
Previously approved KYC #:01082293 & 01121718
All negative media pertains to court cases which have been previously approved in the above mentioned KYCs.
Court Cases have been closed

Neptune LLC:
The court case in the research is a false positive and does not refer to the entity that is part of this KYC. The entity in the court case refers to a NYC entity owned by Salvatore Judice, where as the entity in this KYC is a USVI entity solely owned by Mr. Epstein.
Neptune LLC owned by Jeffrey Epstein donated to Gary King's campaign for $5,200 in 2006. Mr. Epstein is already noted as a PEP

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	☐ Yes ☑ No