



Relationship Name	EPSTEIN, JEFFREY RELATIONSHIP				
Risk Rating Comments:					
Booking Center	<input type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input type="checkbox"/> High Risk
(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 type="checkbox"/> Drivers License <input 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 type="checkbox"/> Yes <input type="checkbox"/> No		
C. Please indicate the results of the database searches performed			
RDC searches complete	<input type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
OFAC checks complete	<input type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
Denial Orders checks complete	<input type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes <input 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: JEFFREY EPSTEIN: RDC Alert #1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris PCR Alert #1/2 -- Not our client All Cases Closed  SOUTHERN FINANCIAL LLC: No negative media No court cases  SOUTHERN TRUST INC: No negative media Court Case -- Not our client. D. FINANCIAL INFOMATICS INC: No negative media No court cases  J. Epstein & Co. All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML Clearance attached Court Cases have been closed  FINANCIAL TRUST & CO RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been cleared by Compliance and is attached Court Cases are closed			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input type="checkbox"/> Yes <input type="checkbox"/> 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)	<input type="checkbox"/> Yes <input type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
H. Does the client or related party have any financial or other association/ interactions within high risk countries?	<input type="checkbox"/> Yes <input type="checkbox"/> No		