

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 [!]

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

Classification: **For internal use only**

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