

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	Jacqueline Lightbody

(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
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**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
<p>Please summarize any negative results from the database searches indicated above: JEFFREY EPSTEIN:  RDC Alert #1 -- Cleared &amp; APPROVED by Chip Packard, AML Compliance, and Pat Harris  PCR Alert #1/2 -- Not our client  All Cases Closed</p> <p>SOUTHERN FINANCIAL LLC:  No negative media  No court cases</p> <p>SOUTHERN TRUST INC:  No negative media  Court Case -- Not our client.</p> <p>D. FINANCIAL INFOMATICS INC:  No negative media  No court cases</p> <p>J. Epstein &amp; 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</p> <p>FINANCIAL TRUST &amp; 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</p>				
E. To the best of your knowledge, has the client ever been convicted of a criminal offense? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				
<p>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)</p> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				

<https://na4.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=500600...> 9/19/2013