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

Relationship Name	EPSTEIN, JEFFREY RELATIONSHIP					
Booking Center	☑ NY	☐ NY/Offshore	☐ Offshore	☐ Moderate Risk	☑ High Risk	

(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: 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.

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? ☑ 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