



Alka Babu

KYC Case Representative
Deutsche CIB Centre Private Limited - Deutsche Bank Group
Wealth Management
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway
Goregaon East, Mumbai - 400063, India

From: Bradley Gillin
Sent: Wednesday, October 24, 2018 11:16 PM
To: Alka Babu <[REDACTED]>
Cc: Vinita Advani <[REDACTED]>; Vijay-A Sawant <[REDACTED]>; Stewart Oldfield <[REDACTED]>; Richard Iarossi <[REDACTED]>
Subject: RE: Assistance required in resolving points - KYC #0[REDACTED]

Classification: **For internal use only**

Alka,
See below in blue.

We had a rejection for the captioned KYC for accounts The 2007 Jeffrey E. Epstein Insurance Trust #3, The Haze Trust, NES, LLC, Plan D, LLC

We need your inputs on the points highlighted in red.

Case #: 01977694
Relationship: SOUTHERN FINANCIAL RELATIONSHIP Customer Name: The 2007 Jeffrey E. Epstein Insurance Trust #3
Customer Number: 00000487199 Reason for Rejection:10/19/2018 - Rejection Points:

1. Please provide evidence of or a case comment regarding confirmation from the client that the information on the KYC is still accurate (i.e. ownership structure, signatories, etc. have not changed). The comment must include the name of the person spoken with and date this conversation occurred. (The attached internal email does not meet this requirement.) – **Have attached the no material confirmation received by you for your reference, however we need more info as per the rejection point.**

Darren Indyke – 10/22/18 – confirmed that there are no material changes

3. Andrew Gallivan's approval is not dated on the KYC. – **Please advise Andrew Gallivan to input the approval date in the case.**

a. 5. The nature of business narrative for NES LLC states the entity was formed to take care of the expenses associated with running one of Jeffrey's homes. However, the KYC states the purpose of its DDA account is to pay for costs associated with Jeffrey's airplanes. Please review and ensure that information is consistent. I had taken the nature of business from the customer page of NES LLC which states "NES, LLC was formed to take care of the expenses associated with running one of Jeffrey Epstein's homes" and the purpose of the account that you had provided