

KYC Print

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DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01790655

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details

Relationship Name:

Relationship Manager:

EPSTEIN, JEFFREY RELATIONSHIP:00000483290

Stewart Oldfield

New PWM Relationship

Existing PWM Relationship

If existing, please indicate since when the relationship exists, provide reason for new profile and attach old

profile: ***This KYC is a periodic review for high risk remediation***

Relationship to PWM:

Original KYC1195100

ONLY adding signers to account. All signers have already been approved in previous KYC's. Please rush as

this is a simple update.

Darren Indyke was approved in KYC 01133377

Harry Beller was added in approved KYC 01141308

Client Referral

How Was the Client(s)

Introduced? How long

has the RM personally

known the client?

Does Deutsche Bank pay

a retrocession or similar

compensation to a third

party for the introduction

of this relationship?

RM Prospect

Intermediary/FIM

Other Source (CIB, etc.)

Please provide details (e.g. name of referral source, how many years RM personally has known client,

etc.): Jeffrey Epstein reached out to Stew Oldfield on 3/7/17 to have a new acct opened under Zorro

Management LLC and add two new signors to this new acct only.

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2

3

4

Account Name / Number

Southern Financial, LLC Deposit-42952771
Southern Trust Company, Inc- Deposit.-42952763
Jeffrey Epstein - Deposit-35269691
J. Epstein Virgin Islands Foundation, Inc - Brokerage-N4G024950

Who is the primary
contact person for the
RM? (Note: This person
needs to have signatory
rights and/or information
right for the accounts.):
Opening Date (intended/actual)

9/5/2013
8/27/2013
3/8/2016
9/30/2013

填 No

Booking Center:
New York

Status : 6. Approved

Darren Indyke

Preferred method of
contact(indicate phone
no., fax no., e-mail
address, etc.):


<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...>
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One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

Southern Financial, LLC Deposit

stewart oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? The purpose of this account is to manage the daily expenses of the company

Indicate from where the assets are expected to arrive?

填 DB Group: Same Booking Center (indicate account number): 42952771;
77000957

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 2 inflows & outflows per month ranging from \$1000 to \$10,000.

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

46,600 and 11479051.88

47,000 and 11679051.88

Currency

Currency

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties related to

this account

1

填

2 填 填

Jeffrey E. Epstein

Southern
Financial LLC
填
Southern Trust is
3 填 填
Southern Trust
Company, Inc.
100
the sole member
of Southern
Financial and
Jeffrey Epstein is
the sole
shareholder of
Southern Trust;
4
5
6
Darren Indyke
Harry Beller
Jean Anne
Brennan
Wiebracht
填
填
填
填 填
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Significant
Shareholder
(>=25%)
Non-PIC
entity
(indicate

ownership

%)

Other (please describe other roles and/or indicate relationship between parties)

Sole shareholder of Southern Trust;

USD

USD

Acct. Number (if available):

42952771

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...>

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2. Account Ownership Summary

Account Name:

Account Manager:

Southern Trust Company, Inc- Deposit.

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? The purpose of this account is to manage the daily expenses of the company

Indicate from where the assets are expected to arrive?

填 DB Group: Same Booking Center (indicate account number): 42952763;
77000965

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 10 inflows and 10 outflows per month ranging from \$1,000 to \$10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

32060.99 and 18028364.27

33000 and 18280364.27

Currency

Currency

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties related to
this account

1

填

Jeffrey E. Epstein

2 填 填

3

4

5

Southern Trust
Company, Inc.

Darren Indyke

Harry Beller

Jean Anne

Brennan

Wiebracht

填 填

Account

Holder

PIC

Owner

Settlor of

Trust /

Founder of

Foundation

Ultimate

Beneficial

Owner

Signatory

or Full

POA

Limited

POA

Financial

Intermediary

(FIM)

Significant

Shareholder

(>=25%)

Non-PIC

entity

(indicate

ownership

%)

100

Other (please

describe other

roles and/or

indicate

relationship

between parties)

Sole shareholder

of Southern

Trust; Jeffrey

Epstein is the sole

shareholder of

Southern Trust;

填

填
填
填
USD
USD
Acct. Number (if
available):
42952763
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lid=01N300000000D9Di&e...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N300000000D9Di&e...)
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2. Account Ownership Summary

Account Name:

Account Manager:

Jeffrey Epstein - Deposit

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Deposit accounts for Jeffrey Epstein's personal daily use.

Indicate from where the assets are expected to arrive?

填 DB Group: Same Booking Center (indicate account number): 35269691

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per

month)?: Roughly 15 inflows and outflows per month ranging from \$100-\$10,000.

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

3478441.80

2980000

Currency

Currency

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties related to

this account

1

2

3

填

Jeffrey E. Epstein 填

Harry Beller

Darren Indyke

填
填
填

Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Significant
Shareholder
($\geq 25\%$)
Non-PIC
entity
(indicate
ownership
%)
Other (please
describe other
roles and/or
indicate
relationship
between parties)

USD

USD

Acct. Number (if
available):

35269691

2. Account Ownership Summary

Account Name:

Account Manager:

J. Epstein Virgin Islands Foundation, Inc - Brokerage
stewart oldfield

Acct. Number (if
available):

N4G024950

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lid=01N30000000D9Di&e...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...)

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What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? the purpose of this account is to manage the foundation's securities and trade investments.

Indicate from where the assets are expected to arrive?

填 DB Group: Same Booking Center (indicate account number): N4G024950

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: 0-10 inflows/outflows of security sales and purchases on a monthly basis between 10k and 150k.

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

640138

680000

Currency

Currency

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties related to

this account

J. Epstein Virgin

1 填 填

2

3

4

填

Islands

Foundation, Inc

Jeffrey E. Epstein

Erika Kellerhals

Darren Indyke

填
填 填
填
填

Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Significant
Shareholder
(>=25%)
Non-PIC
entity
(indicate
ownership
%)
Other (please
describe other
roles and/or
indicate
relationship
between parties)

usd
usd
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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral

source, supplier of goods or services)?(if Yes,describe)

Yes 填 No

Family

Friendship 填 None

Yes 填 No

Harry Beller - 00000487202

USA

Accountant

HBRK Associates, Inc

Tax ID / SSN:

Position/Title/Rank:

Date of Birth:

Country of Citizenship:

USA

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Paul Morris

Indicate where and when the client meeting(s) took place:

Bank Office:

填

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

10/21/2013

Wealth Details for this individual are not filled in, because they are the

same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Summarize Source of Wealth:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income

(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

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Institution:

Institution:

Institution:

Country:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.):

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Darren Indyke - [REDACTED]

USA
[REDACTED]

Lawyer

Southern Financial LLC

Tax ID / SSN:

Position/Title/Rank:

575 Lexington Avenue, 4th Fl New York NY United States 10022

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral

source, supplier of goods or services)?(if Yes,describe)

Yes 填 No

Family

Friendship 填 None

Yes 填 No
[REDACTED]

Date of Birth:

Country of Citizenship:
[REDACTED]

USA

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description

as indicated in Section 2)

Nature of the Individual's Business:

Summarize Source of Wealth:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income

(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

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Institution:

Institution:

Institution:

Country:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.):

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Erika Kellerhals - 00000499664

USA

Attorney

Kellerhals Ferguson Kroblin PLLC

Tax ID / SSN:

Position/Title/Rank:

9100 Port of Sale Mall, Ste 15 St. Thomas VI United States 00802

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral

source, supplier of goods or services)?(if Yes,describe)

Yes 填 No

Family

Friendship 填 None

Yes 填 No

Date of Birth:

Country of Citizenship:

USA

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description

as indicated in Section 2)

Nature of the Individual's Business:

Summarize Source of Wealth:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income

(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

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Institution:

Institution:

Institution:

Country:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.):

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.
Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary
residence:

Profession/Occupation:

Current Employer:

Address of employer:

Jeffrey E. Epstein - 00000483289

USVI

Little St James Saint Thomas 00802 United States

Self Employed

Southern Financial LLC

Tax ID / SSN:

Position/Title/Rank:

6100 Red Hook Quarter B3 St. Thomas United States 00802

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) close
relationship with Bill Clinton and Prince Andrew

To the best of your knowledge, is the individual related to an employee of
the DB

group?(if Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking
relationship with Deutsche Bank (e.g., external legal counsel, client
referral

source, supplier of goods or services)?(if Yes,describe)

Yes

Family

No

Friendship Yes None

Yes Yes No

President

Date of Birth:

Country of Citizenship:

1/20/1953

USA

If applicable, indicate which bank officers have met
the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Summarize Source of Wealth:

Private investments

Individual Business Owner

Other:

Salary/Earnings Individual Investment

Inheritance/Gifts

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.) Jeffrey Edward Epstein (born January 20, 1953) is an American financier and registered sex offender in the United States. He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. In 2008, Epstein was convicted of soliciting an underage girl for prostitution, for which he served 13 months in prison. He lives in the US Virgin Islands. Epstein taught calculus and physics at the Dalton School in Manhattan from 1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns.

In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-networth clients on tax strategies. Proving successful in his financial career, in 1980 Epstein became a partner at Bear Stearns.

In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than \$1 billion

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in net worth. In 1987, Leslie Wexner, founder and chairman of Ohio-based The Limited chain of women's clothing stores, became a well-known client. Wexner acquired Abercrombie & Fitch the following year. In 1992 he converted a private school on the Upper East Side into an enormous residence. Epstein later bought that property, in the wealthiest part of Manhattan. In 1996, Epstein changed the name of his firm to the Financial Trust Company and, for tax advantages, based it on the island of St. Thomas in the U.S. Virgin Islands. In 2003, Epstein bid to acquire New York magazine. Other bidders were advertising executive Donny Deutsch, investor Nelson Peltz, media mogul and publisher Mortimer Zuckerman, who had the New York Daily News, and film producer Harvey Weinstein. They were ultimately outbid by Bruce Wasserstein, a longtime Wall Street investor, who paid \$55 million.

In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and Zuckerman were equal partners in the venture. Roshan, as its editor-in-chief, retained a small ownership stake.

Presently, Mr. Epstein founded Southern Trust Company Inc, a private consulting company that invests the assets of their clients and gets their revenue from the return of these investments. Southern Trust invests in different portfolios catered to their clients and makes their revenue based on the returns and the fees associated with managing their client's assets.

Estimated Annual Income
(\$):

Estimated Net Worth(\$):

10,000,000.00

\$500 MM +

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

\$50 MM - 100 MM

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.):

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Jean Anne Brennan Wiebracht - 00000487647

USVI

Finance

Southern Financial, LLC

Tax ID / SSN:

Position/Title/Rank:

6100 Red Hook Quarter, B3 St, Thomas United States 00802

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral

source, supplier of goods or services)?(if Yes,describe)

Yes 填 No

Family

Friendship 填 None

Yes 填 No

Date of Birth:

Country of Citizenship:

USA

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description

as indicated in Section 2)

Nature of the Individual's Business:

Summarize Source of Wealth:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income

(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

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Institution:

Institution:

Institution:

Country:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:

Type of Entity:

Type of Entity Other

(specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

United States Virgin Islands

J. Epstein Virgin Islands Foundation, Inc - 00000486427

Foundation/Association

Estate

Partnership

Purpose of Entity

Other (specify):

Date of

incorporation /

registration:

Estate or Charitable/Philanthropic

6100 Red Hook Quarter B3 St, Thomas 00802 United

States

Volcker Flag:

U.S. TIN/EIN:

7/14/2000

Trust

Company

Private Investment 塏

Purpose of Entity:

Philanthropic/Charitable

Commercial

No

66-0585379

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations,

include information about revocability, settlor and beneficiaries, etc.:
This is a 501 (c)3 foundation with Jeffrey Epstein serving as the President.
Darren Indyke serves as VP and Erika Kellerhals as Secretary/Treasurer. The
signors on this account are Jeffrey Epstein, Darren Indyke
and Erika Kellerhals

Please indicate how ownership of the legal entity is reflected:
Special attention: Bearer Shares - Indicate where shares are custodied:
Describe the chain from the direct owner of the entity to the ultimate
beneficial owner (if not the same persons): This is a 501 (c)3
foundation with Jeffrey Epstein serving as the President.

To the best of your knowledge, is the entity party to a non-banking
relationship
with Deutsche Bank (e.g. external legal counsel, client referral source,
supplier of
goods or services)?:

Yes
Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:
Countries where business is transacted:
Number of employees:

USA, USVI
5

3D. Wealth Profile (Only for parties requiring source of wealth description
as indicated in Section 2)

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent
summary of assets/liabilities):

The initial donation came from Jeffrey Epstein's personal funds. These funds
have then been invested and reinvested as the source of
income for the foundation. The profits the foundation gets from these
investments are then reinvested or donated to charitable
endeavors

Estimated gross receipts p.a. (\$):
100,000.00

No
Private nonprofit foundation which is organized exclusively for charitable,
educational and scientific purposes.

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lid=01N30000000D9Di&e...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...)
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Estimated net profit p.a. (\$):

2,000,000.00

Estimated investable assets (\$):

Potential Amount to be invested with PWM (\$):

Other Known Financial Institutions:

Institution: DB

Institution:

Institution:

<\$1 MM

800,000.00

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:

Type of Entity:

Type of Entity Other

(specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

US Virgin Islands

Southern Financial LLC - 00000483882

Foundation/Association

Estate

Partnership

Purpose of Entity

Other (specify):

Date of

incorporation /

registration:

Identified on Customer Profile

6100 Red Hook Quarter B3 00802

Volcker Flag:

U.S. TIN/EIN:

2/25/2013

Trust 填 Company

填 Private Investment

Purpose of Entity:

Philanthropic/Charitable

Commercial

800,000.00

No

66-0799192

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: Southern Trust Company Inc is the sole member of Southern Financial LLC. Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc

Please indicate how ownership of the legal entity is reflected:

Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons):

To the best of your knowledge, is the entity party to a non-banking relationship

with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of

goods or services)?:

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Countries where business is transacted:

Number of employees:

This business is funded by Jeffrey Epstein's wealth. This company was formed to

hold Mr. Epstein's personal wealth and invest in different ventures. This company

invests in real estate, equities, commodities, etc and gets its revenue from the

gains it makes in these investments. It is a company formed to invest the assets

of Mr. Epstein

US Virgin Islands

3

Yes

No 填

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3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):

The initial funding in February 2013 was \$1,000 from the sole shareholder of the sole managing member (Jeffrey Epstein). Please revert to Mr. Epstein's source of wealth for more details.

Estimated gross receipts p.a.(\$):

Estimated net profit p.a. (\$):

Estimated investable assets (\$):

Potential Amount to be invested with PWM (\$):

Other Known Financial Institutions:

Institution: DB

Institution:

Institution:

2,000,000.00

1,500,000.00

<\$1 MM

300,000.00

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:

Type of Entity:

Type of Entity Other

(specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

US Virgin Islands

Southern Trust Company, Inc. - 00000483883

Foundation/Association

Estate

Partnership

Purpose of Entity

Other (specify):

Date of

incorporation /

registration:

Identified on Customer Profile

6100 Red Hook Quarter B3 00802

Volcker Flag:

U.S. TIN/EIN:

11/18/2011

Trust 塩 Company

塩 Private Investment

Purpose of Entity:

Philanthropic/Charitable

Commercial

1,000,000.00

No

66-0779861

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: Jeffrey Epstein is the sole shareholder of this company. The signors on this account are Jeffrey Epstein, Harry Beller, Jeanne Brennan, and Darren Indyke.

Please indicate how ownership of the legal entity is reflected:

Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons):

To the best of your knowledge, is the entity party to a non-banking relationship

with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of

goods or services)?:

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Yes

No 塩

Consulting Services relying on Financial and Biomedical algorithms. Southern Trust is a private consulting company that invests the assets of their clients and

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gets their revenue from the return of these investments. Southern Trust invests in different portfolios catered to their clients and makes their revenue based on the returns and the fees associated with managing their clients assets

Countries where business is transacted:

Number of employees:

US Virgin Islands

4

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):

Consult and invest client funds and gain revenue based on fees and returns

Estimated gross receipts p.a.(\$):

2,000,000.00

Estimated net profit p.a. (\$):

Estimated investable assets (\$):

Potential Amount to be invested with PWM (\$):

Other Known Financial Institutions:

Institution: DB

Institution:

Institution:

1,500,000.00

\$2 MM - 5 MM

300,000.00

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

2,000,000.00

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

Relationship Name

Booking Center

EPSTEIN, JEFFREY RELATIONSHIP

填 NY

NY/Offshore

Offshore

Moderate

Risk

填 High Risk Yoonsun Chung

(Compliance Signature)

DB Employee

DB Managed PIC

DB is Trustee/Co-Trustee

4. Attachments

A. Type of Photo ID Provided

B.

填 Drivers License 填 Passport

Checklist of names (individuals and/or entities) that were submitted for database

searches is attached

C. Please indicate the results of the database searches performed

RDC searches complete

PCR checks complete

OFAC checks complete

BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)

Denial Orders checks complete

Martindale-Hubbell searched (Lawyers/Law Firms only)

填 Yes

No

National/State ID

Other

Bearer Shares

填 Yes

填 Yes

填 Yes

填 Yes

填 Yes

No negative results found 填 Yes

No negative results found 填 Yes

No negative results found

No negative results found

No negative results found

Yes 填 No negative results found

D. Please summarize any negative results from the database searches indicated above: DARREN INDYKE:

Approved in KYC #01133377

HARRY BELLER:

Approved in KYC #01133624

JEANNE BRENNAN:

Jeanne was previously approved in KYC #01141315

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

No

No

Yes 填 No

Yes 填 No

Yes 填 No

Yes

No

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Court Cases are closed

Erika Kellerhals:

Civil Action court case of James P Carroll v Dawn Prosser (a divorce case) which lists Erika Kellerhals as general counsel as she is an attorney. Another case with Supermarket Source Inc lists Erika as the defendant's counsel. These cases are standard in Erika's line of work, and they are not directed at her personally.

E.
To the best of your knowledge, has the client ever been convicted of a criminal offense?

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)

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)?

H.
Does the client or related party have any financial or other association/ interactions within high risk countries?

I. Corporate Documentation Attached (Legal Entities Only)

J. Undisclosed Principal Form Complete (Intermediaries Only)

填 Yes

No

Yes 填 No

Yes 填 No

Yes 填 No

填 Yes

Yes

No

Not Applicable

No 填 Not Applicable

K. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:

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M. Case Comments

Created By

Date

Comments

This KYC serves as a high risk update for the below listed clients (together "acountholders") –

Kshitij Golani

8/8/117 4:45 PM

1. Southern Financial, LLC

2. Southern Trust Company, Inc

3. Jeffrey Epstein

4. J. Epstein Virgin Islands Foundation, Inc

Below are the reasons why we are comfortable with approving this KYC:

- Information and supporting documents required by our AML Policy were provided and

reviewed; and as a result, we have an understanding of the structure of the acountholders,

their purpose, the purpose of the accounts and expected transaction activity.

- There are a few risk factors associated with the acountholders –

SOW: The UBOs (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which

manages clients assets. SOW verification was obtained.

Negative Media & PEP: There is some negative media against Mr Epstein and he is also

maintains a close relationship with Bill Clinton and Prince Andrew. Please see risk calculator for

more information. Appropriate approval was obtained.

- Our review did not identify any red flags and thus there was no need to escalate this case

further.

- We performed due diligence searches on all parties and did not find the names searched to be

on any sanctions lists

Cynthia Rodriguez 7/7/117 1:50 PM

Verification of Address for Jeffrey Epstein is attached. it is his most recent paycheck from

Southern Trust Company Inc.

Cynthia Rodriguez 6/30/117 1:28 PM google searches for UBO can be found in KYC case 01790820

Cynthia Rodriguez 7/7/117 2:28 PM client confirmed no material changes on 07/01/2017 via phone

Cynthia Rodriguez 7/7/117 2:17 PM research for Jean Anne Brennan Wiebracht is attached to kyc case 01790820

ONSHORE APPROVALS

Client Facing Professional (CFP): stewart oldfield

Office Director/Business Head: Andrew F Gallivan

Regional Office Director:

AML Business Risk:

(Signature)

(Signature)
stewart oldfield
(Signature)
Andrew F Gallivan

(Signature)
7/5/2017
7/6/2017

AML Compliance:
Kshitij Golani
Yoonsun Chung
(Signature)
Kshitij Golani
Yoonsun Chung

LATAM/INTERNATIONAL APPROVALS
Client Facing Professional (CFP):
Account Manager:

(Signature)
(Signature)
(Signature)

8/8/2017
8/8/2017

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Global Market Team Head
(GMTH)/Sub-Market Team Head
(SMTH):

AML Business Risk:

(Signature)

AML Compliance:

(Signature)

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: Deutsche Bank Private Wealth Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals¹(1) (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

DECLARATION FOR ALL SIGNERS OF THIS FORM: To the best of my knowledge and belief

the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM

Global KYC Policy

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

Deutsche Bank Americas New York

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