

Subject: FW: Oldfield [I]
From: Daphne Cales <[REDACTED]>
Date: Tue, 03 Oct 2017 14:19:58 -0400
To: Andrew Gallivan <[REDACTED]>

Classification: For internal use only

FYI

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Adrienne Bull
Sent: Tuesday, October 03, 2017 2:18 PM
To: Daphne Cales <[REDACTED]> Melisa Venegas
<[REDACTED]>
Subject: RE: Oldfield [I]

Classification: For internal use only

Hi Daphne –

The one remaining was pending ABR approval as of 9-28-17 (moved from HR to MR pending the completion of ABR approval).

Kind Regards

Adrienne

From: Daphne Cales
Sent: Tuesday, October 03, 2017 1:57 PM
To: Melisa Venegas <[REDACTED]>; Adrienne Bull
<[REDACTED]>
Subject: FW: Oldfield [I]

Classification: For internal use only

Hey ladies,

Steward Oldfield was asking about his one HR KYC outstanding but I don't see it. All I have is his moderates. Please confirm.

GCIS Customer Number

RISK

Customer Name

* Type

Client Since Date

Relationship Customer Number

Relationship

Customer Owner

KYC Update Due Date Month-Year

F0 Submission Due Date

Active Accounts
(as of 19SEP17)

Rel CBV (as of 6/30/17)

Small Relationship

Assigned support person

Create KYC Update in System

Submitted to F0 HR: 1112 MR: 244

DBF Case #

Comments

409100

HIGH

Black, Leon D.

Individual

4/17/2014

483288

ELYSIUM MANAGEMENT RELATIONSHIP

Stewart Oldfield

Oct-17

9/15/2017

Y

\$

0.15

< \$2 mm

Priscilla Lewis

Completed

Completed

1822196

Under \$2MM; requested to keep

442098

HIGH

Lindemann, Adam M.

Individual

2/1/2010

427075

LINDEMANN FAMILY RELATIONSHIP

Stewart Oldfield

Oct-17

9/15/2017

Y

\$ 29,086,262.09

n/a

Michelle Baptiste

Completed

Completed

1809779

Approved August 2017

483883

HIGH

Southern Trust Company, Inc.

Organization

8/26/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Jun-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790655

Approved August 2017

483882

HIGH

Southern Financial LLC

Organization

8/26/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Aug-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790655

Approved August 2017

486426

HIGH

Butterfly Trust

Organization

1/24/2014

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1804531

Approved September 2017

487199

HIGH

The 2007 Jeffrey E. Epstein Insurance Trust #3

Organization

11/1/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1804531

Approved September 2017

487219

HIGH

Plan D, LLC

Organization

10/18/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

487223

HIGH

HBRK Associates, Inc

Organization

11/1/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1791049

Approved July 2017

487225

HIGH

Hyperion Air, LLC

Organization

10/18/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

487244

HIGH

JEGE, Inc

Organization

10/18/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

487264

HIGH

Neptune, LLC

Organization

10/18/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790739

Approved August 2017

487265

HIGH

NES, LLC

Organization

11/8/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790739

Approved August 2017

489505

HIGH



Individual

12/13/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790724

Approved July 2017

492732

HIGH

Zorro Development Corp.

Organization

4/25/2014

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

N

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

N/A

N/A

Inactive

499760

HIGH

Gratitude America

Organization

3/3/2015

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790739

Approved August 2017

550331

HIGH

Zorro Management, LLC

Organization

12/20/2016

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Sep-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

483289

HIGH

Epstein, Jeffrey

Individual

9/12/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Oct-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790655

Approved August 2017

487216

HIGH

JEGE, LLC

Organization

10/18/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Oct-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

499733

HIGH

LSJE, LLC

Organization

2/25/2015

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Oct-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

550868

HIGH

Prytanee, LLC

Organization

1/20/2017

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Oct-17

N/A

Y

\$ 222,973,649.34

n/a

Cynthia Rodriguez

Completed

Completed

1704382

Approved January 2017

486423

HIGH

Jeepers, Inc

Organization

9/12/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Nov-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

486427

HIGH

J. Epstein Virgin Islands Foundation, Inc

Organization

9/30/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Nov-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790655

Approved August 2017

486428

HIGH

The Haze Trust

Organization

9/23/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Nov-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1804531

Approved September 2017

487266

HIGH

Mort, Inc

Organization

11/13/2013

483290

SOUTHERN FINANCIAL RELATIONSHIP

Stewart Oldfield

Nov-17

N/A

Y

\$ 222,973,649.34

n/a

Darnetta Chandler-Johnson

Completed

Completed

1790820

Approved August 2017

423157

Moderate

TFMG, LLC

Organization

8/28/2008

409409

TISCH FAMILY RELATIONSHIP

Stewart Oldfield

Aug-17

10/15/2017

Y

\$

< \$2 mm

Not Started

Not Started

518287

Moderate

The George Lindemann Family Limited Partnership Series 1

Organization

9/28/2015

427075

LINDEMANN FAMILY RELATIONSHIP

Stewart Oldfield

Sep-17

10/15/2017

Y

\$ 29,086,262.09

n/a

Not Started

Not Started

520582

Moderate

Kati Forsythe 2014 GRAT

Organization

12/3/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

Not Started

Trust Client

520548

Moderate

CRW 2009 LLC

Organization

12/9/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

Not Started

520547

Moderate

GEW 2009 LLC

Organization

12/9/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

Not Started

520550

Moderate

Shari Wagner 2014 GRAT

Organization

12/3/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Dec-17

10/15/2017

Y

\$ 103,855,330.67

n/a

what I was asking about

From: Daphne Cales
Sent: Tuesday, October 03, 2017 1:48 PM
To: Andrew Gullivan <andrew.gullivan@db.com>
Subject: Oldfield [I]

Classification: For internal use only

Per our discussion, this is Stewart's list. As you can see they are all moderates. I'll have someone start these as soon as possible.

423157

Moderate

TFMG, LLC

Organization

8/28/2008

409409

TISCH FAMILY RELATIONSHIP

Stewart Oldfield

Aug-17

10/15/2017

Y

\$

< \$2 mm

Not Started

518287

Moderate

The George Lindemann Family Limited Partnership Series 1

Organization

9/28/2015

427075

LINDEMANN FAMILY RELATIONSHIP

Stewart Oldfield

Sep-17

10/15/2017

Y

\$ 29,086,262.09

n/a

Not Started

520582

Moderate

Kati Forsythe 2014 GRAT

Organization

12/3/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

520548

Moderate

CRW 2009 LLC

Organization

12/9/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

520547

Moderate

GEW 2009 LLC

Organization

12/9/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Nov-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

520550

Moderate

Shari Wagner 2014 GRAT

Organization

12/3/2015

490359

THIRD LAKE CAPITAL RELATIONSHIP

Stewart Oldfield

Dec-17

10/15/2017

Y

\$ 103,855,330.67

n/a

Not Started

Kind regards,
Daphne Cales

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Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}