

Subject: Re: Your KYC has been rejected [I]  
From: Janice Franklin <[REDACTED]>  
Date: Thu, 19 Sep 2013 15:01:24 -0400  
To: [REDACTED]  
Cc: Jacqueline Lightbody <[REDACTED]>

Classification: For internal use only

The IRS tax exemption letter attached to the KYC indicates the entity is tax exempt. It is standard for us to search the IRS' database and/or Guidestar to confirm 501(c)3 status. The IRS indicates that the entity has not been tax exempt since 2/2008. Please provide us with documentation to show the entity is tax exempt. as you indicate on the KYC.

Regards,  
Janice P. Franklin

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Janice Franklin, CAMS, CFSA, CFIRS  
Vice President | AML Compliance Officer

Deutsche Bank Trust Company Americas  
Compliance  
60 Wall Street, 10005-2836 New York, NY, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

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|----->  
| From: |  
|----->

| Amanda Kirby <[REDACTED]>

|----->  
| To: |  
|----->

| [REDACTED],

|----->  
| Date: |  
|----->

| 09/19/2013 02:29 PM

|----->  
| Subject: |  
|----->

| Re: Your KYC has been rejected

Classification: Public

janice -- The client says this is a Virgin Islands tax exempt foundation.  
What would you need to see for that?

Best,  
Amanda Kirby

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Amanda Kirby  
Associate

Deutsche Bank Trust Company Americas  
345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004  
Tel. [REDACTED]  
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Email [REDACTED]

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From: Janice Franklin <[REDACTED]>  
To: Amanda Kirby/[REDACTED]/dbcom@DBAMERICAS,  
Date: 09/19/2013 01:58 PM  
Subject: Your KYC has been rejected

Your KYC has been rejected.

Case #: 01122241  
Relationship: EPSTEIN, JEFFREY RELATIONSHIP  
Customer Name: J. Epstein Virgin Islands Foundation, Inc  
Customer Number: [REDACTED]  
Reason for Rejection: Please see the following rejections:

1. Please re-run due diligence searches for J. Epstein Virgin Islands Foundation, Inc. as the current searches were done with the wrong country. Should be US Virgin Islands, not the United States.
2. Please provide evidence as to who is the designated authorized signer.
3. Board Resolution list the foundation as an a/k/a which is "Enhanced Education". Is this another name for the foundation, if not, how is it related? If this is the a/k/a for the foundation, please conduct due diligence searches for this entity.

ADDITIONAL QUESTION

4. Please confirm for us that the prospective client is still tax exempt. It appears to have lost its exemption status in 2/2008. In addition, I was unable to find it in Guidestar or on the IRS' website.

To view the KYC click here <https://na4.salesforce.com/5006000000SaeJG>