

Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC
(GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL
RELATIONSHIP [I] [C]
From: Davide-A Sferrazza [REDACTED]
Date: Fri, 21 Sep 2018 13:34:30 -0400
To: Michael Raphael [REDACTED]
Cc: Amit Garg [REDACTED]
Liam Osullivan [REDACTED]

Classification: Confidential

Mike,

Do you happen to have any idea what this is account code is? STRUPDT0118001

KYC team said the following:

One of the account for Southern Financial LLC (GCIS 483882) is Structured Transactions account with account ID on DB Force customer page as STRUPDT0118001. We believe it's a dummy account number, as we couldn't fetch any details on DB Insight.

Not sure if you've ever come across this before, and I am not aware of any SP trades with this client since I've been here, but figured it was worth checking with you.

Thanks,

Davide

From: Liam Osullivan
Sent: Friday, September 21, 2018 1:28 PM
To: Davide-A Sferrazza [REDACTED]
Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC
(GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL
RELATIONSHIP [I] [C]
Importance: High

Classification: Confidential

I do not recognize the account code. Do you know what it is? Thanks

From: Stewart Oldfield
Sent: Friday, September 21, 2018 1:20 PM
To: Liam Osullivan [REDACTED]
Cc: Bradley Gillin [REDACTED]; Richard Iarossi
[REDACTED]
Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC
(GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL
RELATIONSHIP [I]
Importance: High

Do you recognize account code STRUPDT0118001?

Thanks

From: Vijay-A Sawant
Sent: Friday, September 21, 2018 10:18 AM
To: Richard Iarossi [REDACTED]
Cc: Bradley Gillin [REDACTED]; Stewart Oldfield
<[REDACTED]>; Mayur Rathod <[REDACTED]>
Subject: RE: 2018 Periodic Review of Accts Southern Financial LLC
(GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL
RELATIONSHIP [I]
Importance: High

Hi Rich,

Following are the pending items in above accounts -

· One of the account for Southern Financial LLC (GCIS 483882) is Structured Transactions account with account ID on DB Force customer page as STRUPDT0118001. We believe it's a dummy account number, as we couldn't fetch any details on DB Insight. We'll need Purpose of this account, expected size and frequency of regular inflows and outflows & what is the expected volume of assets and currency for the account approx. 90 days after opening.

· "Purpose of the account" required for all the below accounts.

GCIS 483883

{cid:image003.jpg@01D451CF.6CFBABE0}

GCIS 483289

{cid:image007.jpg@01D451CF.6CFBABE0}

GCIS 486427 – DB Insight is not showing the below account. We'll need expected size and frequency of regular inflows and outflows & what is the expected volume of assets and currency for the account approx. 90 days after opening.

{cid:image005.jpg@01D451D5.85777770}

Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

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

[REDACTED]

[REDACTED]

From: Vijay-A Sawant

Sent: Friday, August 24, 2018 5:28 PM

To: Richard Iarossi [REDACTED]

Cc: Bradley Gillin [REDACTED]; Stewart Oldfield

<[REDACTED]>

Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL RELATIONSHIP [I]

Importance: High

Hello Rich,

For the above accounts, we have received confirmation from Brad that there are no material changes to these accounts in another email. We have launched KYCCase#01977703 for these accounts and following are pending items -

- Southern Financial LLC – One of the RP's Jean Anne Brennan Wiebracht has incorrect name reflected in Corp Resolution and Signature Card from 2017. The name reflecting there is Jeanne Brennan whereas her driving license, attached for reference reflects Jean Anne Brennan. Could we request for an updated Corp Resolution with correct name, please? Note the Operating agreement reflects the name Jeanne Brennan).

- Southern Financial LLC - SOS from USVI website or COGS dated within last 6 months.

- LSJE LLC – SOS from USVI website or COGS dated within the last 6 months.

Thanks & Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

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

[REDACTED]

From: Vijay-A Sawant
Sent: Tuesday, August 14, 2018 5:20 PM
To: Bradley Gillin [REDACTED]
Cc: Stewart Oldfield <[REDACTED]>
Subject: 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882)
& LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hi Brad,

This relates to above high risk accounts due for remediation Aug 2018.

Upon review of all docs from the repositories and attachments, we have completed attached checklists for which please see assessment below –

Acct Holder – Southern Financial, LLC (SFL)

Sole Member@SFL – Southern Trust Company, Inc (STC)

President & Authorized Signatory@SFL; President, Sole Shareholder &
Authorized Signatory@STC – Jeffrey E. Epstein

Authorized Signatory@SFL & VP, Secretary@STC - Darren Indyke

Authorized Signatory@SFL – Jeanne Brennan

Kindly confirm if there are any material changes to this account? Attached checklist completed after review of this account.

During review, I found the USVI domiciled Certificate of Existence for the account holder and sole member, however unable to extract the SoS from the USVI website for either of these entities. Additionally the COGS on records, is more than 6 months old. So kindly provide the SoS or COGS (dated within the 6 months) for this account holder & Sole Member.

If there are any material changes to this account, we will require updated ID docs for Darren Indyke & Jeanne Brennan, as their drivers licenses have expired. Finally we require Fincen CDD form for this account as well.

Acct Holder – LSJE, LLC

Sole Member, shareholder & Authorized Signatory – Jeffrey Epstein

Authorized Signatory – Darren Indyke

Kindly confirm if there are any material changes to this account? Attached checklist completed after review of this account.

During review, I have found the Certificate of Existence for this entity, but couldn't extract SoS from the USVI website and the COGS is missing. Kindly provide either the SoS or COGS dated within last 6 months, so this requirement is satisfied.

Finally, we require Fincen CDD form for this account.

I will launch KYC case upon receipt of your confirmation of material changes, thanks,

Kind Regards,

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Vijay Sawant

KYC Case Representative

Deutsche CIB Centre Private Limited - Deutsche Bank Group

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