

Subject: FW: Jeffrey Epstein / Southern Financial [I]  
From: Xavier Avila [REDACTED]  
Date: Fri, 29 Sep 2017 17:29:07 -0400  
To: Daniel-E Kaiser [REDACTED],  
Martin Zeman [REDACTED]  
Cc: Joshua Shoshan [REDACTED],  
Vahe Stepanian [REDACTED]

I spoke to Keith today on several ISDA fronts.

On Southern Financial derivatives front, we cannot move fwd until

- 1) We have their financials (Zeman/Vahe chasing client)
- 2) Kim gives Nick/Keith green light on rep issues. My question is, why would be fine to trade cash products with them and not OTC derivs?

Dan, let's put a call to Kim on Monday.

From: Keith Buckholz  
Sent: Friday, September 29, 2017 5:24 PM  
To: Xavier Avila [REDACTED]  
Subject: FW: Jeffrey Epstein / Southern Financial [I]

FYI

From: Keith Buckholz  
Sent: Friday, September 29, 2017 5:21 PM  
To: Kimberly Hart [REDACTED]  
Cc: Nicholas Haigh [REDACTED]  
Subject: RE: Jeffrey Epstein / Southern Financial [I]

Hi Kim,

Just checking in. KCP is pretty eager to move forward. Thanks.

Regards,

Keith Buckholz

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

Keith Buckholz, CAIA

Director | Credit Risk Officer

Deutsche Bank Wealth Management

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345 Park Avenue, MS NYC20-1406

New York, NY 10154

Tel: [REDACTED]

Mobile: [REDACTED]

From: Kimberly Hart

Sent: Tuesday, September 26, 2017 6:39 PM

To: Keith Buckholz [REDACTED]

Cc: Nicholas Haigh [REDACTED]

Subject: Re: Jeffrey Epstein / Southern Financial [I]

Thanks so much for the heads up. Dan Kaiser and Martin Zeman spoke to me about the client yesterday and I am taking a look at the client review process when he was originally onboarded.

Kimberly Hart  
Managing Director | Regional Control Officer

Wealth Management Americas

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On Sep 26, 2017, at 6:12 PM, Keith Buckholz <keith.buckholz@db.com> wrote:

Classification: For internal use only

Kim,

I want to bring this relationship to your attention given his background. KCP would like to re-engage this client from a credit risk (OTC derivatives) standpoint. Prior to providing CRM approval to trade OTC derivatives I wanted to ensure that this client has gone through the high risk KYC process and defer to you in terms of whether this needs to go through Reputational Risk Committee (or if it has already received Reputational Risk approval). Happy to discuss if easier.

Regards,

Keith Buckholz

<image001.gif>

Keith Buckholz, CAIA

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