

Subject: RE: KYC Remediation - Southern Financial Relationship [I]
From: Daphne Cales [REDACTED]
Date: Mon, 10 Jul 2017 11:08:04 -0400
To: Cynthia Rodriguez [REDACTED]

Classification: For internal use only

There are only a few people who actually respond to me or the team. I so appreciate you. Nothing else for now. Let us know if you need us to run any additional searches. Have an amazing day! J

Kind regards,
Daphne Cales

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Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA
[REDACTED]

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From: Cynthia Rodriguez
Sent: Monday, July 10, 2017 10:53 AM
To: Daphne Cales [REDACTED]
Subject: RE: KYC Remediation - Southern Financial Relationship [I]

Classification: For internal use only

Hi Love,

I closed the case J Thanks for heads up. Let me know if anything else needs to get done!

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA



From: Daphne Cales
Sent: Monday, July 10, 2017 10:42 AM
To: Cynthia Rodriguez 
Subject: RE: KYC Remediation - Southern Financial Relationship [I]

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Hello my dear,

EFTA01407505

Hope you had a wonderful weekend. I think KYC 1790768 needs to be closed as the parties are on KYC 1790739. Let me know.

The only other one opened should be 1790724.

Kind regards,
Daphne Cales

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Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA

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From: Cynthia Rodriguez
Sent: Thursday, July 06, 2017 5:53 PM
To: Darnetta Chandler-Johnson <[REDACTED]>
Cc: Stewart Oldfield [REDACTED] Daphne Cales
[REDACTED] Patrick Harris [REDACTED] Vaishali-P
Mehta [REDACTED]
Subject: RE: KYC Remediation - Southern Financial Relationship [I]

Classification: For internal use only

All,

Just a quick update on this relationship. I have condensed the below kycs to 4 cases. Three of the four cases have been initially reviewed. The certificates of good standing for all of the USVI entities under the Epstein relationship have been ordered, but will take 2-3 weeks to arrive as 14 entities needed to be ordered. Therefore, the following cases will be in my queue until the certificates arrive:

- 01790655
- 01790739
- 01790820

I will be submitting the fourth case for initial review tomorrow or Monday the latest as I am waiting to hear back from the client on any material changes. I will notify you if any other delays occur. Thank you.

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th FL 10154-0004 New York, NY, USA



From: Darnetta Chandler-Johnson
Sent: Thursday, June 22, 2017 4:48 PM
To: Cynthia Rodriguez [REDACTED]
Cc: Stewart Oldfield [REDACTED]; Daphne Cales
[REDACTED]; Patrick Harris <[REDACTED]> Vaishali-P
Mehta [REDACTED]
Subject: KYC Remediation - Southern Financial Relationship [I]

Classification: For internal use only

Hello Cynthia,

The following KYC's are being assigned to you. Please review and comment, edit where necessary. The Volcker needs to be completed for all required parties. Please review PEP classification on all parties. Please review the research on checklist and make comments where needed.

- o KYC needs to be submitted to the KYC team first and not AML. The KYC team will forward accordingly.
- o Make sure to review all the information with the client and acquire missing information and confirm no material changes have occurred.

KYC 1790655 –Jeffrey Epstein, Southern Financial LLC, Southern Trust Company, Inc. and J. Epstein Virgin Islands Foundation, Inc, - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. ID found for Darren Indyke is expired. KYC confirms Jeffrey Epstein, Harry Beller, and Darren Indyke as the signor's/POA on the accounts, Signature card list Jeffrey Epstein. For Southern Financial LLC KYC confirms Jeffrey Epstein, Darren Indyke and Jeanne Brennan as the signor's/POA on the accounts, and for Southern Trust company Inc KYC confirms Jeffrey Epstein, Darren

Indyke, Harry Beller and Jeanne Brennan as the signor's/POA on the accounts.

Please make sure that compliance has given clearance on RDC & PCR Alerts for customer.

KYC 1790685 – Hyperion Air LLC, Plan D LLC, JEJE LLC and JEJE Inc., - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties con. KYC firms Jeffrey Epstein, Harry Beller and Darren Indyke as the signor's/-POA on all 3 accounts, Signature card only list Jeffrey Epstein, Harry Beller. Photo ID found for Darren Indyke found under GCIS 487199 is expired. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1791049 – The 2007 Jeffrey Epstein Insurance Trust No. 3, and HBRK Associates Inc., - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID's Darren Indyke is expired. Signature cards confirms Jeffrey Epstein, Richard Kahn and Darren Indyke as the signor's on The 2007 Jeffrey Epstein Ins., and Richard Kahn and Harry Beller for HBRK Assoc. Inc. Please make sure that compliance has given clearance on RDC & PCR Alert for Richard Kahn.

KYC 1790724 – [REDACTED] - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Signature card confirms [REDACTED] and Karyna Shuliak as the signor's on the account. Photo ID's for both Signors are expired, found under the KYC attachment. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790739 – Gratitude America - comments made on research for all parties. Please review and edit where necessary. Searches have been

completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. Signature card confirms Jeffrey Epstein and Darren Indyke as the signor's on the account. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790748 – Neptune, LLC- comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. KYC confirms 3 signor's/POA on the account. Signature card only list Jeffrey Epstein, Harry Beller. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790755 – NES LLC - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID's Darren Indyke is expired, found under GCIS# 487199. KYC confirms 3 signor's/POA on the account. Signature card only list Jeffrey Epstein, Harry Beller. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790768 – Butterfly Trust - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID found for the UBO. Photo ID's found in the repository are not for the UBO's . KYC firms Harry Beller and Erika Kellerhals as the signor's/POA . Signature cards in the repository list Richard Kahn and Darren Indyke as the signor's on the account. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790820 – Zorro Management LLC - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. Signature card confirms Jeffrey Epstein, Darren Indyke, [REDACTED], and Brice M Gordon as the signor's on the account. Please make sure that compliance has given clearance on RDC & PCR

Alert for customer.

KYC 1790849 – LSLE LLC - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. Signature card confirms Jeffrey Epstein and Darren Indyke as the signor's on the account. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790854 – MORT Inc - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. Signature card confirms Jeffrey Epstein and Darren Indyke as the signor's on the account. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790862 – The Haze Trust - comments made on research for all parties. Please review and edit where necessary. Searches have been completed for the required KYC parties. Photo ID for Darren Indyke is expired, found under GCIS# 487199. Signature card confirms Darren Indyke is the only signor on the KYC and Signature card for the account. Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

KYC 1790869 – Jeepers, Inc - comments made on research for all parties. Please review and edit where necessary. Photo ID for Darren Indyke is expired, found under GCIS# 487199. KYC specifies Jeffrey Epstein, Harry Beller, Jeanne Brennan, Darren Indyke as signors/POA and Signature cards in the repository only specifies Jeffrey Epstein, Harry Beller, and Jeanne Brennan as signors Please make sure that compliance has given clearance on RDC & PCR Alert for customer.

Best Regards,

Darnetta