

Close Window

Print This Page

Expand All | Collapse All

Case: 01082293

Relationship Details

Relationship Name EPSTEIN, JEFFREY RELATIONSHIP

Primary Officer Paul Morris

Reason for KYC New Client

Wealth Details Same

for All Parties

Status 6. Approved

Office New York

Reason for Update (If
Applicable)

Reason for Rejection
(If Applicable)

1. Please change account opening
dates; these are in the past.

RESOLVED

2. Please mark the accounts legal
entity/corporate accounts. RESOLVED

3. Please give a more substantial
explanation of how the client was
introduced; how did Paul meet Jeffrey
in the first place. RESOLVED

4. The source of wealth description is
not sufficient; please give a more
detailed bio/narrative on his source of
wealth with employer names/positions
held, salaries, etc. The SOW
description should include an
explanation of how he got started, and
how he got to where he is today.

RESOLVED

5. For the entities, please give a better
description of exactly what they do...
the purpose of entity/nature of
business provided is not sufficient.

RESOLVED

6. Please attach full searches on the
previous name of the company.

RESOLVED

7. According to the shareholder info
attachment; Southern Trust Company
Inc is the sole member of Southern
Financial LLC; and Jeffrey is the sole
shareholder of Southern Trust
Company Inc. Therefore, the KYC
hasn't been set up correctly to reflect

this set up. RESOLVED

8. Please attach the LLC operating agreement for Southern Financial LLC this should also include proof of ownership/control. RESOLVED

9. Please attach the articles of incorporation and if available, bylaws for Southern Trust Company Inc.

RESOLVED

10. Please also attach full searches on Financial Trust Company Inc; which merged into Southern Financial LLC.

RESOLVED

11. Please attach all alerts and alert clearances. RESOLVED

Some issues above were not resolved and there is a new issue below:

1. Please attach full searches on J.

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>

8/28/2015

Epstein & Co. as this was a company started and controlled by Mr. Epstein.

RESOLVED

all issues resolved

Moderate Risk

High Risk

Relationship Number 00000483290

DB Pay for Third

Case Owner Approved KYC

No

party for introduction

Describe, Third party

compensation

Reason for Rush (If

applicable)

Exception Expires

Reason for Exception

(If Applicable)

Booking Location NY

How Client Was

Introduced

Introduction Details

Prospect

Jeffrey Epstein was a client of Paul's a JP Morgan. Paul and Jeffrey Epstein had a mutual friend/colleague who introduced them while Paul was at JPMorgan. Over the course of a few meetings Paul was able to get Jeffrey to bring some of his funds over to JPMorgan

Request

Temporary/Permanent

Exception

Special Client Type (select if applicable)

DB Employee

DB is Trustee/CoTrustee

Custom

Links

Import Documents

Export Documents

View Documents From

Repository

A. Type of Photo ID Provided

A.

If Other, Type of

Photo ID Provided

B. Checklist of names (individuals and/or entities) that were submitted for database searches is

attached

B. Yes

C. Please indicate the results of the database searches performed

Yes - Negative Results Found

RDC searches

complete

OFAC checks

complete

Denial Orders checks

complete

Yes - No Negative Results Found

Yes - No Negative Results Found

KYC Wizard

Launch Due Diligence

View Due-Diligence Case-Report

Global KYC Print

Please rush. Client wants to fund
accounts ASAP.

DB Managed PIC

Bearer Shares?

U.S. Drivers License; Passport

PCR checks

complete

BIS searches

complete

Martindale-Hubbell

searched

Yes - Negative Results Found

Yes - No Negative Results Found

Not Applicable

[https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-](https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...)

[5006000000Qah5LA...](https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...)

8/28/2015

D. Please summarize any negative results from the database searches indicated above

D. JEFFREY EPSTEIN:

RDC Alert #1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris

PCR Alert #1/2 -- Not our client

All Cases Closed

SOUTHERN FINANCIAL LLC:

No negative media

No court cases

SOUTHERN TRUST INC:

No negative media

Court Case -- Not our client.

FINANCIAL INFOMATICS INC:

No negative media

No court cases

J. Epstein & Co.

All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML

Clearance attached

Court Cases have been closed

FINANCIAL TRUST & CO

RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been

cleared by Compliance and is attached

Court Cases are closed

E. Has the client or related party ever been convicted of a criminal offense?

E. Yes

F. Has the client or related party ever been involved in any past or threatened litigation against

Deutsche Bank AG or any of its subsidiaries?

F. No

G. To the best of your knowledge, does the customer have any financial association/interaction, e.g.

maintain homes or companies, etc., within the countries and regions, or is the customer associated with the regimes or organizations that..

G. No

H. Does the client or related party have any financial or other associations/-interactions within countries

that pose a risk of money laundering?

H. No

I. Entity Documentation Attached

I. Yes

J. Intermediary form approved by AML compliance? (intermediaries only)

J.

Not Applicable

K. If any documentation is not in English, please provide an English summary or translation

Summary

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>

8/28/2015

Approvals

Primary Officer/RM

Approver

AM Approver (Int'l
Only)

Office Dir./Bus.

Head/GMTH/SMTH

Approver

Regional Office

Director Approver

AML & Business Risk

Approver

AML & Business Risk

Approver II

Compliance

Approver

Compliance

Approver II

Janice Franklin

Armen Brash

Brian M. Biggar

Paul Morris

Primary Officer/RM

Approval Date

AM Approval Date

(Int'l Only)

Office Dir./Bus.

Head/GMTH/SMTH

Date

Regional Office

Director Approved

Date

AML & Business Risk

Approved Date

AML & Business Risk

Approved Date II

Compliance

Approved Date

Compliance

Approved Date II

*** REMINDER--You must check the active assignment box below to route to the office director

Disregard the below fields

Contact Name Jeffrey Epstein

Subject

Contact Information

Name Jeffrey Epstein

Customer Name Epstein, Jeffrey

Nickname

*Marital Status

Gender

* SSN 090-44-3348

* Federal Tax ID #

Birthdate

Date of Death

Relation to

Customer

Primary

Main Contact

Contact Name at

Company

Custom Links

Self

1/20/1953

8/21/2013

8/20/2013

7/18/2013

7/17/2013

Priority

Description

High

Contact Owner

Last Modified By

Created By

Paul Morris

Relational Junction, 3/2/2015 4:43

AM

Tanuj Sharma, 4/18/2013 11:30 AM

Customer Number 00000483289

Status

Active

Bank 1

Vantive Owner

Type

eSign Compliant

Email

Individual

[REDACTED],
[REDACTED],
[REDACTED]

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>

8/28/2015

View Customer Accounts &
Revenue

Request to be Deleted

Launch Due Diligence

Update KYC

Contact Conversion Request

Create KYC

Show KYC's

BIS Research Request

Template

Phone and Email

Primary Phone Type

Phone

Home Phone

Business Phone

Mobile

Other Phone

Other Description

Privacy Information

Mailing Restrictions

Do Not Call

Address Information

Mailing Address

Type

Business

* Business Name Southern Financial LLC

* Position/Title/Rank

President

Mailing Address 6100 Red Hook Quarter B3

St. Thomas, 00802

USVI

Additional Address Information

Other Address 2

Type

Other Address 2

Other Address 3

Type

Other Address 3

Legal Address (TEAS Ticket required to change Legal Address)

* Legal Street

Little Saint James

* Legal City

* Legal State

* Legal Zip Code 00802

Saint Thomas

Other Address Type

* Other Business

Name

* Other

Position/Title/Rank

Other Address

Litte Saint James

Saint Thomas, 00802

US Virgin Islands

Primary Residence

Map

View Due-Diligence CaseReport

Email

Email2

Website

Asst.

Phone

Assistant

Fax

* Country of

Citizenship

(Individual)

* Country of

Residence

(Individual)

USA

USVI

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=->

5006000000Qah5LA...

8/28/2015

* Legal Country

Salutations

Prefix: Formal -

Couple

Salutation: Formal -

Couple

Prefix: Formal - Solo

Salutation: Formal -

Solo

Prefix: Informal -

Couple

Salutation: Informal

- Couple

Contact Description, Interest and Hobbies

Marketing Interests

Description

Personal Interests

Additional Party Information

*Profession/Occupation

* Nature of Individuals

Business

Self Employed

Private investments

*Is Indv/Entity a

PEP (or

associated)?

* If Yes, describe

PEP

*Family

Relationship to DB

Employee

* If Yes, details of

Relationship

KYC Related Parties

Epstein, Jeffrey

KYC Party Contact Jeffrey Epstein

Type Individual

contributes to account or wealth

Account Holder

Southern Financial LLC

KYC Party Contact Southern Financial LLC

Type Entity

contributes to account or wealth

Account Holder

Southern Trust Company, Inc.

KYC Party Contact Southern Trust Company, Inc.

Type Entity

contributes to account or wealth

Account Holder

None

No

Prefix: Informal -
Solo

Salutation: Informal
- Solo

Prefix: Other

Salutation: Other

US Virgin Islands

Spouse / Children

Education

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>

8/28/2015

KYC DB Accounts

Southern Financial, LLC

Southern Financial, LLC

Southern Trust Company, Inc.

Southern Trust Company, Inc.

KYC Related Party Roles

Southern Trust Company, Inc.

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 8/21/2013

Southern Trust Company, Inc.

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 8/21/2013

Southern Financial, LLC

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 8/21/2013

Southern Financial, LLC

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 8/21/2013

Southern Trust Company, Inc.

KYC Party Contact Southern Trust Company, Inc.

Role Account Holder

Please Describe

Last Modified Date 5/28/2013

Southern Trust Company, Inc.

KYC Party Contact Southern Trust Company, Inc.

Role Account Holder

Please Describe

Last Modified Date 5/28/2013

Southern Financial, LLC

KYC Party Contact Southern Financial LLC

Role Account Holder

Please Describe

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>

8/28/2015

Case: 01082293 ~ salesforce.com - Unlimited Edition

Page 8 of 9

Last Modified Date 5/28/2013

Southern Financial, LLC

KYC Party Contact Southern Financial LLC

Role Account Holder

Please Describe

Last Modified Date 5/28/2013

Southern Financial, LLC

KYC Party Contact Southern Trust Company, Inc.

Role Significant Shareholder(>=25%) Non-PIC Entity (Indicate ownership %)

Please Describe

Southern Trust is the sole member of Southern Financial and Jeffrey Epstein is the sole shareholder

of Southern Trust

Last Modified Date 8/14/2013

Southern Financial, LLC

KYC Party Contact Southern Trust Company, Inc.

Role Significant Shareholder(>=25%) Non-PIC Entity (Indicate ownership %)

Please Describe

Southern Trust is the sole member of Southern Financial and Jeffrey Epstein is the sole shareholder

of Southern Trust

Last Modified Date 8/14/2013

Case History

8/21/2013 11:31 AM

User Janice Franklin

Action Changed Case Owner from Compliance KYC to Approved KYC.

8/21/2013 11:31 AM

User Janice Franklin

Action

Changed Compliance Approver to Janice Franklin. Changed Status from 5. Ready for Compliance Approval to 6.

Approved.

8/20/2013 2:59 PM

User Armen Brash

Action

Changed Owner (Assignment) from AML & Business Risk to Compliance KYC.

Changed Reason for Rejection (If

Applicable). Changed AML & Business Risk Approver to Armen Brash. Changed Status from 4. Ready for AML &

Bus. Risk Approval to 5. Ready for Compliance Approval.

8/20/2013 9:36 AM

User Armen Brash

Action Changed Reason for Rejection (If Applicable).

8/15/2013 1:59 PM

User Amanda Kirby

Action Changed Case Owner from Amanda Kirby to AML & Business Risk.

8/15/2013 1:59 PM

User Amanda Kirby

Action Changed Status from Rejected to 4. Ready for AML & Bus. Risk Approval.

8/14/2013 4:44 PM

User Armen Brash

Action Changed Case Owner from AML & Business Risk to Amanda Kirby.

[https://dbforcepb.my.salesforce.com/50060000000Qah5L/p?retURL=-](https://dbforcepb.my.salesforce.com/50060000000Qah5L/p?retURL=-50060000000Qah5LA...)

[50060000000Qah5LA...](https://dbforcepb.my.salesforce.com/50060000000Qah5L/p?retURL=-50060000000Qah5LA...)

8/28/2015

Case: 01082293 ~ salesforce.com - Unlimited Edition

Page 9 of 9

8/14/2013 4:44 PM

User Armen Brash

Action

Changed Reason for Rejection (If Applicable). Changed Status from 4. Ready for AML & Bus. Risk Approval to Rejected.

8/13/2013 5:42 PM

User Amanda Kirby

Action Changed Case Owner from Amanda Kirby to AML & Business Risk.

8/13/2013 5:42 PM

User Amanda Kirby

Action Changed Status from Rejected to 4. Ready for AML & Bus. Risk Approval.

7/22/2013 3:20 PM

User Armen Brash

Action Changed Case Owner from AML & Business Risk to Amanda Kirby.

7/22/2013 3:20 PM

User Armen Brash

Action

Changed Reason for Rejection (If Applicable). Changed Status from 4. Ready for AML & Bus. Risk Approval to Rejected.

7/18/2013 2:58 PM

User Brian Biggar

Action

Changed Owner (Assignment) from Brian Biggar to AML & Business Risk. Changed Office Dir./Bus.

Head/GMTH/SMTH Approver to Brian M. Biggar. Changed Status from 3. Ready for Office Dir Approval/SMTH to

4. Ready for AML & Bus. Risk Approval.

7/17/2013 2:10 PM

User Paul Morris

Action Changed Case Owner from Paul Morris to Brian Biggar.

7/17/2013 2:10 PM

User Paul Morris

Action

Changed Primary Officer/RM Approver to Paul Morris. Changed Status from 2. Ready for Primary Officer

Approval to 3. Ready for Office Dir Approval/SMTH.

7/17/2013 2:09 PM

User Amanda Kirby

Action Changed Case Owner from Amanda Kirby to Paul Morris.

7/17/2013 2:06 PM

User Amanda Kirby

Action Changed Status from 1. In Progress to 2. Ready for Primary Officer Approval.

5/28/2013 10:27 AM

User Amanda Kirby

Action Created.

Copyright © 2000-2015 salesforce.com, inc. All rights reserved.

EFTA01409529

<https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=-5006000000Qah5LA...>
8/28/2015