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Case: 01195100

Relationship Details

Relationship Name EPSTEIN, JEFFREY RELATIONSHIP

Primary Officer Paul Morris

Reason for KYC New Client

Status 6. Approved

Office New York

Reason for Update (If  
Applicable)

ONLY adding signers to account. All  
signers have already been approved i  
previous KYC's. Please rush as this is  
a simple update.

Darren Indyke was approved in KYC  
01133377

Harry Beller was added in approved  
KYC 01141308

Wealth Details Same

for All Parties

Moderate Risk

High Risk

Relationship Number 00000483290

Case Owner Approved KYC

DB Pay for Third

party for introduction

Describe, Third party  
compensation

Reason for Rejection  
(If Applicable)

Reason for Rush (If  
applicable)

Exception Expires

Reason for Exception  
(If Applicable)

Booking Location NY

How Client Was

Introduced

Introduction Details

Prospect

Jeffrey Epstein is a current client of the  
Bank. Wants to open a new account.

Introduction details of Paul and Jeffrey

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 Deutsche Bank

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

KYC Wizard

Launch Due Diligence

View Due-Diligence Case-Report

Global KYC Print

1. Documentation to add Mr. Beller to Mr. Epstein's accounts was not located.

Please rush. Need confirmed addition of signer by February 27, 2014

DB Managed PIC

Bearer Shares?

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8/28/2015

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

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

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

D. DARREN INDYKE:

Approved in KYC #01133377

HARRY BELLER:

Approved in KYC #01133624

JEANNE BRENNAN:

Jeanne was previously approved in KYC #01141315

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

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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

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

Gwen Hill

Janice Franklin

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

3/28/2014

3/28/2014

2/24/2014

2/24/2014

Priority

Description

High

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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

View Customer Accounts &

Revenue

Request to be Deleted

Launch Due Diligence

Update KYC

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

Other Address Type

Primary Residence

Contact Conversion Request

Map

View Due-Diligence CaseReport

Self

1/20/1953

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]

Email

Email2

Website

Asst. Phone

Assistant

Fax

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\* Business Name Southern Financial LLC

\* Other Business

Name

\* 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

Litte Saint James

\* Legal City

\* Legal State

\* Legal Zip Code 00802

\* 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 Empolyed

Private investments

\*Is Indv/Entity a

PEP (or

associated)?

\* If Yes, describe

PEP

No  
Prefix: Informal -  
Solo  
Salutation: Informal  
- Solo  
Prefix: Other  
Salutation: Other  
US Virgin Islands  
Saint Thomas  
\* Other  
Position/Title/Rank  
Other Address  
Litte Saint James  
Saint Thomas, 00802  
US Virgin Islands  
\* Country of  
Citizenship  
(Individual)  
\* Country of  
Residence  
(Individual)  
USA  
USVI  
Spouse / Children  
Education  
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\*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

Beller, Harry

KYC Party Contact Harry Beller

Type Individual

contributes to account or wealth

Account Holder

Indyke, Darren

KYC Party Contact Darren Indyke

Type Individual

contributes to account or wealth

Account Holder

Brennan, Jeanne

KYC Party Contact Jeanne Brennan

Type Individual

contributes to account or wealth

Account Holder

KYC DB Accounts

Southern Financial, LLC

Southern Financial, LLC

Southern Trust Company, Inc.

None

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Southern Trust Company, Inc.

Jeffrey Epstein

Jeffrey Epstein

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 2/24/2014

Southern Trust Company, Inc.

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 2/24/2014

Southern Financial, LLC

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 2/24/2014

Southern Financial, LLC

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe Sole shareholder of Southern Trust

Last Modified Date 2/24/2014

Southern Trust Company, Inc.

KYC Party Contact Southern Trust Company, Inc.

Role Account Holder

Please Describe

Last Modified Date 2/24/2014

Southern Trust Company, Inc.

KYC Party Contact Southern Trust Company, Inc.

Role Account Holder

Please Describe

Last Modified Date 2/24/2014

Southern Financial, LLC

KYC Party Contact Southern Financial LLC

Role Account Holder

Please Describe

Last Modified Date 2/24/2014

Southern Financial, LLC

KYC Party Contact Southern Financial LLC

Role Account Holder

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Please Describe

Last Modified Date 2/24/2014

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 2/24/2014

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 2/24/2014

Jeffrey Epstein

KYC Party Contact Jeffrey Epstein

Role Account Holder

Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein

KYC Party Contact Harry Beller

Role Signatory or Full POA

Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein

KYC Party Contact Harry Beller

Role Signatory or Full POA

Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein

KYC Party Contact Jeffrey Epstein

Role Signatory or Full POA

Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein

KYC Party Contact Jeffrey Epstein

Role Account Holder

Please Describe

Last Modified Date 2/24/2014

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Southern Trust Company, Inc.  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Southern Trust Company, Inc.  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Southern Financial, LLC  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Southern Financial, LLC  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Jeffrey Epstein  
KYC Party Contact Darren Indyke  
Role Signatory or Full POA  
Please Describe

Last Modified Date 2/24/2014

Southern Trust Company, Inc.  
KYC Party Contact Harry Beller  
Role Signatory or Full POA  
Please Describe

Last Modified Date 3/24/2014

Southern Trust Company, Inc.  
KYC Party Contact Harry Beller  
Role Signatory or Full POA  
Please Describe

Last Modified Date 3/24/2014

Southern Financial, LLC  
KYC Party Contact Harry Beller  
Role Signatory or Full POA  
Please Describe

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Southern Financial, LLC

KYC Party Contact Harry Beller

Role Signatory or Full POA

Please Describe

Last Modified Date 3/24/2014

Southern Trust Company, Inc.

KYC Party Contact Jeanne Brennan

Role Signatory or Full POA

Please Describe

Last Modified Date 3/24/2014

Southern Trust Company, Inc.

KYC Party Contact Jeanne Brennan

Role Signatory or Full POA

Please Describe

Last Modified Date 3/24/2014

Southern Financial, LLC

KYC Party Contact Jeanne Brennan

Role Signatory or Full POA

Please Describe

Last Modified Date 3/24/2014

Southern Financial, LLC

KYC Party Contact Jeanne Brennan

Role Signatory or Full POA

Please Describe

Last Modified Date 3/24/2014

Case Comments

3/28/2014 10:45 AM

User Gwen Hill

Public

Attachments

Comment Risk Calculator located in KYC #1082293.

POA D. Indyke for J. Epstein.pdf

Size 354KB

Ownership Denise Thompson

View View file

Last Modified 5/6/2014 4:15 PM

1195100 KYC Checklist Southern Trust Company

Inc.xls

Size 52KB

Ownership Janice Franklin

View View file

Last Modified 3/28/2014 12:38 PM

1195100 KYC Checklist Jeffrey Epstein.xls

Beller Signing Authority.pdf

Size 29KB

Approved KYC 1195100.pdf

Size 126KB

Ownership Gwen Hill

View View file

Last Modified 4/10/2014 4:02 PM

1195100 KYC Checklist Southern Financial LLC.xls

Size 52KB

Ownership Janice Franklin

View View file

Last Modified 3/28/2014 12:38 PM

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Size 52KB

Ownership Janice Franklin

View View file

Last Modified 3/28/2014 12:37 PM

ST Corp Res for DK, HB and JB.pdf

Size 540KB

Ownership Amanda Kirby

View View file

Last Modified 3/26/2014 12:57 PM

LLC Res for DK, HB and JB.pdf

Size 433KB

Ownership Amanda Kirby

View View file

Last Modified 3/20/2014 12:33 PM

Signed Personal POA for Darren.pdf

Size 437KB

Ownership Amanda Kirby

View View file

Last Modified 3/19/2014 2:56 PM

Case History

5/6/2014 4:16 PM

User Denise Thompson

Action

Deleted 4/11/2014 in Exception Expires. Changed Status from 7. Approved with Temporary Exception to 6.

Approved.

3/28/2014 12:39 PM

User Janice Franklin

Action

Changed Owner (Assignment) from Compliance KYC to Approved KYC. Changed Compliance Approver II to

Janice Franklin. Changed Status from 4. Ready for AML & Bus. Risk Approval to 7. Approved with Temporary

Exception.

3/28/2014 10:54 AM

User Gwen Hill

Action Changed Exception Expires to 4/11/2014. Changed Compliance Approver to Gwen Hill.

3/27/2014 1:45 PM

User Amanda Kirby

Action Changed Owner (Assignment) from Amanda Kirby to Compliance KYC.

3/25/2014 5:35 PM

User Janice Franklin

Action Changed Case Owner from Compliance KYC to Amanda Kirby.

3/24/2014 2:33 PM

User Amanda Kirby

Action Changed Owner (Assignment) from Amanda Kirby to Compliance KYC.

3/24/2014 2:25 PM

User Gwen Hill

Darren Signing Authority LOA.pdf

Size 55KB

Ownership Paul Morris

View View file

Last Modified 2/24/2014 12:02 PM

Corp Res for DK, HB and JB.pdf

Size 454KB

Ownership Amanda Kirby

View View file

Last Modified 3/20/2014 12:33 PM

SF LLC Res for DK, HB and JB.pdf

Size 519KB

Ownership Amanda Kirby

View View file

Last Modified 3/26/2014 12:57 PM

Ownership Gwen Hill

View View file

Last Modified 3/28/2014 10:17 AM

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Action Changed Case Owner from Compliance KYC to Amanda Kirby.

3/20/2014 12:33 PM

User Amanda Kirby

Action Changed Owner (Assignment) from Amanda Kirby to Compliance KYC.

3/4/2014 11:32 AM

User Janice Franklin

Action Changed Case Owner from Compliance KYC to Amanda Kirby.

2/26/2014 11:48 AM

User Amanda Kirby

Action

Changed Owner (Assignment) from Amanda Kirby to Compliance KYC. Changed Status from Rejected to 4.

Ready for AML & Bus. Risk Approval.

2/26/2014 8:56 AM

User Janice Franklin

Action Changed Case Owner from Compliance KYC to Amanda Kirby.

2/26/2014 8:56 AM

User Janice Franklin

Action

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

Rejected.

2/24/2014 3:47 PM

User Brian Biggar

Action

Changed Owner (Assignment) from New York KYC to Compliance KYC. 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.

2/24/2014 12:55 PM

User Paul Morris

Action

Changed Owner (Assignment) from Paul Morris to New York KYC. Changed Primary Officer/RM Approver to Pau

Morris. Changed Status from 1. In Progress to 3. Ready for Office Dir Approval/SMTH.

2/24/2014 12:02 PM

User Amanda Kirby

Action Changed Case Owner from Amanda Kirby to Paul Morris.

2/24/2014 11:54 AM

User Amanda Kirby

Action Created.

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