

Subject: RE: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin
Islands Foundation, Inc [REDACTED] & Hyperion Air, LLC [REDACTED]
under the SOUTHERN FINANCIAL RELATIONSHIP [I]
From: Bradley Gillin [REDACTED]
Date: Mon, 24 Sep 2018 10:11:58 -0400
To: Vijay-A Sawant [REDACTED],
Stewart Oldfield <[REDACTED]>
Cc: Mayur Rathod [REDACTED]
Richard Iarossi [REDACTED]

Classification: For internal use only

Vijay,

Screenshots below of account.

Balance after 90 days. – 300,000

Incoming – 100,00/1x for month

Outgoing – 50,000/2x per month

Gross income – 400,000

Net Profit – 250,000

Est. Inv. Assets – under \$1mn

Amt of assets – 300,000

{cid:image001.png@01D453EF.046230A0}

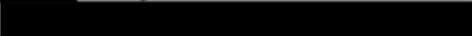
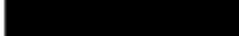
Regards,
Brad

{cid:image006.gif@01D453ED.DE2F8DC0}

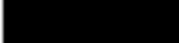
Bradley Gillin
Vice President
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154



Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Monday, September 24, 2018 5:54 AM
To: Stewart Oldfield < >
Cc: Bradley Gillin  Mayur Rathod
 Richard Iarossi 
Subject: RE: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin Islands Foundation, Inc  & Hyperion Air, LLC 
under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hello Stewart,

As per COGS received last week (in separate email), we are all sorted for this case  except the following –

 – We are unable to see this account in DB Insight. So we 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}

In addition to the below, could you advise the following info for account holder (J. Epstein Virgin Islands Foundation, Inc) as the numbers do not seem to make sense and can invite potential rejection point -

{cid:image008.png@01D453ED.DE2F8DC0}

We look forward to your feedback before we re-submit these cases for AML approval, thanks.

Kind 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: Friday, August 24, 2018 3:33 PM
To: Richard Iarossi [REDACTED] Stewart Oldfield
<[REDACTED]>
Cc: Bradley Gillin [REDACTED] Terri Sohrab
[REDACTED] Mayur Rathod [REDACTED]

Subject: Re: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin Islands Foundation, Inc [REDACTED] & Hyperion Air, LLC [REDACTED] under the SOUTHERN FINANCIAL RELATIONSHIP
Importance: High

Hi Richard/Stewart,

We have already received no material change confirmation from Brad as per attached email on the accounts listed in the subject line, upon which we have launched KYC case#[REDACTED] for their remediation. After this confirmation, the following items are required for this case to be completed successfully -

- For J. Epstein Virgin Islands Foundation, Inc - We found the IRS letter which confirms that this is a 501 (c) (3) entity but we are unable to obtain 'SoS' or screenshot from the IRS website. This could mean that this entity is no longer tax exempt and/or active. Could you provide the 'SoS' from IRS website or advise on this please?
- Hyperion Air, LLC – SOS from USVI website or COGS dated within 6 months

Above items should clear this case for approval submission, so kindly provide accordingly, thanks.

Kind 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



Thanks & Regards

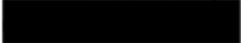
{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Mayur Rathod

KYC Case Representative
Deutsche CIB Centre Private Limited
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Floor 1, B1, DB Centre Mumbai
Nirlon Knowledge Park, Western Express Highway, Goregaon East, Mumbai
400063, India



From: Vijay-A Sawant
Sent: Monday, July 30, 2018 4:20 PM
To: Bradley Gillin  Stewart Oldfield
< >
Cc: Mayur Rathod 
Subject: 2018 Periodic Review of High Risked Accounts J. Epstein Virgin
Islands Foundation, Inc  & Hyperion Air, LLC 
Importance: High

Hello Brad/Stewart,

This review relates to above high risked three accounts due for remediation
08/31/2018.

Upon review of the docs available in the repositories, I have completed the

EFTA01417066

attached checklist, main RP's also listed below for reference –

Acct Holder – J. Epstein Virgin Islands Foundation, Inc

President & Authorized Signatory – Jeffrey Epstein

Vice President & Authorized Signatory – Darren K. Indyke

Treasurer, Secretary & Authorized Signatory – Erika Kellerhals

Kindly advise if the above RP's are correct? Also advise if any material changes to this account?

During review, I noticed the IRS letter which confirmed that this is a 501 (c) (3) entity but I am unable to obtain 'SoS' from the IRS website. This could mean that this entity is no longer tax exempt. Could you advise on this, please?

Regarding the CDD form, I am awaiting AML confirmation whether Jeffrey Epstein's address in section c, is acceptable? Will get back to you as soon as response is received from Morgan.

Acct Holder - Hyperion Air, LLC

Sole Member – Jeffrey Epstein

Authorized Signatories – Harry Beller & Darren Indyke

Kindly advise if the above RP's are correct and whether there are any material changes to this account?

Kindly assist in procuring SoS from the US Virgin islands government registry, please? Note, we already have the COE (Certificate of Existence) for this entity. The SoS is required so we can evidence that this entity is

STILL registered with the authorities and is active.

Regarding the CDD form, I am awaiting AML confirmation whether Jeffrey Epstein's address in section c, is acceptable? Will get back to you as soon as response is received from Morgan.

I will launch KYC upon your confirmation of material changes. Note above accounts will be KYC'd on ONE kyc case, thanks.

Kind Regards,

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

Vijay Sawant

KYC Case Representative
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Goregaon East, Mumbai - 400063 , India