

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01977698

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details

Relationship Name:

Relationship Manager:

SOUTHERN FINANCIAL RELATIONSHIP:00000483290

Stewart Oldfield

New PWM Relationship

Relationship to PWM:

If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile: *** 2018

Periodic Review ***

Client Referral

How Was the Client(s)

Introduced? How long has the RM personally known the client?

Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?

RM Prospect

Intermediary/FIM

Other Source (CIB, etc.)

Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Jeffrey Epstein reached out to Stew Oldfield on 3/7/17 to have a new acct opened under this relationship..

Last Approved KYC # - [REDACTED]; Butterfly Trust - 1804531; Neptune, LLC - 1790739.

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2

3

Account Name / Number

[REDACTED] Karyna Shuliak- [REDACTED]

Butterfly Trust - [REDACTED]

Neptune LLC - [REDACTED]

Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right

for the accounts.):

Opening Date (intended/actual)

12/13/2013

1/24/2014

10/18/2013

[REDACTED]
Preferred method of
contact(indicate phone no., fax
no., e-mail address, etc.):

No

Existing PWM Relationship

Booking Center:

New York

Status : 6. Approved

[REDACTED]
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One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

██████████ Karyna Shuliak- ██████████ - DDA

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)?

This is a

checking account for Individuals. They use the funds for daily expenses.

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number): Existing

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: 2-6/month; \$1

-

\$2000

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?

24,282.99

24,282.99

Yes No

Please list all parties related to the account.

For each party:

Check if a source of wealth description is required for the party.

Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).

If none of the check boxes apply, describe the party's relation to the account in the "Other" column.

Always describe the relationship between the parties in the last column.

Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties

related

to this

account

1

2

Karyna
Shuliak

[REDACTED]
[REDACTED]
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Currency
Currency
USD
USD

Acct. Number (if available):

[REDACTED]
Significant
Shareholder
($\geq 25\%$) NonPIC
entity
(indicate
ownership %)

Legal
Representative
Grantor/Settlor Founding
Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)

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2. Account Ownership Summary

Account Name:

Account Manager:

Butterfly Trust - [REDACTED]

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)?

This is a

money market deposit account to pay all expenses/ disbursements related to the trust. Expenses are taxes, trust fee, etc

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number): Existing

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution – (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: 0-2/month; \$0

-
\$1000

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?

704,736.63

704,736.63

Yes No

Please list all parties related to the account.

For each party:

Check if a source of wealth description is required for the party.

Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).

If none of the check boxes apply, describe the party's relation to the account in the "Other" column.

Always describe the relationship between the parties in the last column.

Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties

related to

this

account

1

2

3
4
5
6
Butterfly
Trust
Harry
Beller
Erika
Kellerhals
Jeffrey E.
Epstein

[REDACTED]

7
8
9
10
11

[REDACTED]

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Trustee;;
Trustee;;
Grantor of
Butterfly
Trust;
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation

Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Currency
Currency
USD
USD
Acct. Number (if available):
44130552
Significant
Shareholder
($\geq 25\%$) NonPIC
entity
(indicate
ownership %)
Legal
Representative
Grantor/Settlor Founding
Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)

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[REDACTED]

13

14

15

16

Darren K.

Indyke

Karyna

Shuliak

Richard D.

Kahn

[REDACTED]

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2. Account Ownership Summary

Account Name:

Account Manager:

Neptune LLC - [REDACTED]

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)?

This is a

checking account to pay for all expenses (i.e. electric, maintenance, cable, etc.) on Epstein's NYC home.

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number): Existing

DB Group: Other Booking Center (indicate DB location and account details):

Other Institution - (Indicate name & location):

Physical Deposits (specify cash, securities, cheques, ...):

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: 15-20/month;

\$10 -

\$10000

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?

207,814.91

207,814.91

Yes No

Please list all parties related to the account.

For each party:

Check if a source of wealth description is required for the party.

Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).

If none of the check boxes apply, describe the party's relation to the account in the "Other" column.

Always describe the relationship between the parties in the last column.

Please drill down to the ultimate/underlying Beneficial Owner(s).

Legal

Entity

Description

of Source

of Wealth

required

Parties

related to

this

account

Jeffrey

1

2
3
4
5

E.
Epstein
Harry
Beller
Darren
K. Indyke
Neptune,
LLC
Richard
D. Kahn
Manager
of Neptune
LLC;
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Currency
Currency
USD
USD

Acct. Number (if available):



Significant
Shareholder
(>=25%)NonPIC
entity
(indicate
ownership %)
Legal
Representative
Grantor/Settlor Founding

Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)
Sole
Member of
Neptune
LLC;

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

N/A

Yes

No

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Homemaker. Solely relies on income from her wife who is a Interior Designer.

United States

Other

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

<\$1 MM

Other Known Financial Institutions:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

<\$1 MM

20,000.00

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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Institution:

Country:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.): [REDACTED]

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Karyna Shuliak - [REDACTED]

United States

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Does the person work as senior executive of a DB-recognized regulated entity in the financial

industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Stewart Oldfield

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

6/23/2017

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Interior Design

United States

Other

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

150,000.00

<\$1 MM

Other Known Financial Institutions:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

<\$1 MM

2,000.00

Country:

Est. Assets Under Mgt:

Country:

Est. Assets Under Mgt:

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lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4T...) 8/42

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Institution:

Country:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.): [REDACTED]

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Jeffrey E. Epstein - [REDACTED]

Virgin Islands, U.S.

Little Saint James Saint Thomas 00802 Virgin Islands, U.S.

Self Employed

Southern Trust Company Inc

6100 Red Hook Quarter B3 St. Thomas Virgin Islands, U.S. 00802

Does the person work as senior executive of a DB-recognized regulated entity in the financial

industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe)

Connection with Prince

Andrew and Bill Clinton

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

United States

Yes No

[REDACTED]

President

Yes

No

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Stewart Oldfield

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

6/28/2017

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Private investments

United States

High Risk Financial Institutions

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.) Jeffrey Edward Epstein (born [REDACTED]) is an American financier and registered sex offender in the United States.

He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. He lives in the US Virgin Islands. Epstein taught calculus and physics

at the Dalton School in Manhattan from 1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns.

In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-net-worth clients on tax

strategies. Proving successful in his financial career, in 1980 Epstein became a partner at Bear Stearns.

In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than \$1 billion in net worth.

In 1987,

Leslie Wexner, founder and chairman of Ohio-based The Limited chain of women's clothing stores, became a well-known client. Wexner acquired Abercrombie & Fitch the following year. In 1992 he converted a private school on the Upper East Side into an enormous residence. Epstein later bought that property, in the wealthiest part of Manhattan. In 1996, Epstein changed the name of his firm to the Financial Trust Company and, for tax advantages, based it on the island of St. Thomas in the U.S. Virgin Islands.

In 2003, Epstein bid to acquire New York magazine. Other bidders were advertising executive Donny Deutsch, investor Nelson Peltz, media mogul and publisher Mortimer Zuckerman, who had the New York Daily News, and film producer Harvey Weinstein. They were ultimately outbid by Bruce Wasserstein, a longtime Wall Street investor, who paid \$55 million.

In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and

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Zuckerman were equal partners in the venture. Roshan, as its editor-in-chief, retained a small ownership stake.

Presently, Mr. Epstein founded Southern Trust Company Inc, a private consulting company that invests the assets of their clients and gets their revenue from the return of these investments. Southern Trust invests in different portfolios catered to their clients and makes their revenue based on the returns and the fees associated with managing their client's assets.

Estimated Annual Income(\$):

Estimated Net Worth(\$):

10,000,000.00

\$500 MM +

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

\$50 MM - 100 MM

2,300,000.00

Country:

Est. Assets Under Mgt:

Country:

Country:

Please indicate the family situation of the individual (marital status, other family members, etc.): N/A

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Harry Beller - [REDACTED]

United States

[REDACTED]
Accountant

HBRK Associates, Inc

[REDACTED]
Does the person work as senior executive of a DB-recognized regulated entity in the financial

industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
Accountant

Yes

No

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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Please indicate the family situation of the individual (marital status, other family members, etc.):

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One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Erika Kellerhals - [REDACTED]

Virgin Islands, U.S.

[REDACTED]
U.S.

Attorney

Kellerhals Ferguson Kroblin PLLC

Date of Birth:

Country of Citizenship:

Has client resided outside of
his/her country of nationality
for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:
[REDACTED]

Does the person work as senior executive of a DB-recognized regulated entity
in the financial
industry? or an entity listed on a DB-recognised exchange? (Not applicable
for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of
the DB group?(if
Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking
relationship with
Deutsche Bank (e.g., external legal counsel, client referral source,
supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
Attorney

Yes

No

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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[lid=01N30000000D9Di&eid=5000e00001NOBxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5000e00001NOBxm&ic=1&linkToken=VmpFPSxNakF4...) 14/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...)

[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 16/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...)

[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 18/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 20/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 22/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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[lid=01N30000000D9Di&eid=5000e00001NOBxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5000e00001NOBxm&ic=1&linkToken=VmpFPSxNakF4...) 24/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

[REDACTED]

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 26/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED] - [REDACTED]

[REDACTED]

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 28/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Darren K. Indyke - [REDACTED]

United States

[REDACTED]
Southern Financial LLC

6100 Red Hook Quarter B3 St Thomas Virgin Islands, U.S. 00802

Does the person work as senior executive of a DB-recognized regulated entity in the financial

industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Stewart Oldfield

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

12/12/2016

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...)

[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 30/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 31/42

7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Richard D. Kahn - [REDACTED]

United States

[REDACTED]

[REDACTED]

HBRK Associates, Inc

[REDACTED]

Does the person work as senior executive of a DB-recognized regulated entity in the financial

industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 33/42

7/15/2019

KYC Print

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2.

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED]

N/A

N/A

N/A

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities

Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe) N/A

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)?

(if Yes,describe) N/A

Yes No

Yes

Family

No

Friendship

None

Date of Birth:

Country of Citizenship:

Has client resided outside of his/her country of nationality for 5 years or more?

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

If applicable, indicate which bank officers have met the person:

Bank Officer Name(s)

Indicate where and when the client meeting(s) took place:

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how

did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

Amount of assets planned to invest with PWM(\$):

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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[lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N3000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 34/42

7/15/2019

KYC Print

Please indicate the family situation of the individual (marital status, other family members, etc.):

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7/15/2019

KYC Print

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:

Type of Entity:

Type of Entity Other (specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

Virgin Islands, U.S.

Identified on Customer Profile

6100 Red Hook Quarter B3 St, Thomas 00802 Virgin Islands, U.S.

Butterfly Trust - 00000486426

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

U.S. TIN/EIN:

12/27/2006

No

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about

revocability, settlor and beneficiaries, etc.:

This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The the beneficiaries for the trust are being updated by the current trustees.

The trustees are

Harry Beller and Erika Kellerhals. The beneficiaries are:

Darren Indyke

Karyna Shuliak

[REDACTED]

Richard Kahn

Attached are the original trust agreement and the addition/deletion of beneficiary instrument to support this change. According to the original trust agreement, the trustees have the right during the lifetime of the Grantor to delete or add beneficiaries under Article 3 of the agreement. Please indicate how ownership of the legal entity is reflected: Addition of Beneficiaries attached
<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...> 36/42
Private Investment
Philanthropic/Charitable
Commercial

7/15/2019

KYC Print

Special attention: Bearer Shares - Indicate where shares are custodied: Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): This is an irrevocable trust set up by Jeffrey

Epstein as the grantor. The the beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals. The beneficiaries are:

[REDACTED]
Darren Indyke
Karyna Shuliak

[REDACTED]
Richard Kahn
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:

Yes

N/A

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Trust account

Countries where business is transacted:

Number of employees:

Virgin Islands, U.S.

N/A

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

United States

High Risk Financial Institutions

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):

Trust account with Jeffrey Epstein as Grantor. Initial \$100 given to the account to fund. The funds for this trust account come from investments made by Jeffrey

Epstein. His wealth profile is filled out.

Estimated gross receipts p.a.(\$):

Estimated net profit p.a. (\$):

Estimated investable assets (\$):

Potential Amount to be invested with PWM (\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

4,500,000.00

4,500,000.00

\$5 MM - 10 MM

700,000.00

No

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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7/15/2019

KYC Print

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:

Type of Entity:

Type of Entity Other (specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

United States

Identified on Customer Profile

6100 Red Hook, Quarter B3 St, Thomas 00802 Virgin Islands, U.S.

Neptune, LLC - 00000487264

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

U.S. TIN/EIN:

12/21/2011

No

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about

revocability, settlor and beneficiaries, etc.:

Single member LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Harry Beller, Darren Indyke. Richard Kahn is the manager.

Please indicate how ownership of the legal entity is reflected: Operating Agreement

Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): Single member LLC. Jeffrey Epstein is the sole

member. The signors on this account are Jeffrey Epstein, Harry Beller, and Darren Indyke. Richard Kahn is the manager.

To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche

Bank (e.g. external legal counsel, client referral source, supplier of goods

or services)?:

Yes

N/A

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Countries where business is transacted:

Number of employees:

United States

3

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

This LLC is funded by contributions made by Jeffrey Epstein.

Estimated gross receipts p.a.(\$):

Estimated net profit p.a. (\$):

Estimated investable assets (\$):

Potential Amount to be invested with PWM (\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

United States

High Risk Financial Institutions

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):

1,000,000.00

1,000,000.00

<\$1 MM

This LLC was formed to hold the funds necessary to cover the costs and taxes associated with

running Jeffrey Epstein's NYC home

No

Private Investment

Philanthropic/Charitable

Commercial

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 38/42

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l PART B

Relationship Name

Risk Rating Comments:

Booking Center

SOUTHERN FINANCIAL RELATIONSHIP

NY

NY/Offshore

Offshore

Moderate

Risk

High Risk

(Compliance Signature)

DB Employee

DB Managed PIC

DB is Trustee/Co-Trustee

4. Attachments

A. Type of Photo ID Provided

Drivers License

Passport

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

C. Please indicate the results of the database searches performed

RDC searches complete

PCR checks complete

OFAC checks complete

BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)

Denial Orders checks complete

Martindale-Hubbell searched (Lawyers/Law Firms only)

National/State ID

No

Other : Darren Indyke &

Richard Kahn [REDACTED] & [REDACTED]

Yes

Bearer Shares

Yes

Yes

Yes

Yes

Yes

Yes

No

No

No

No

No

No

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

- No negative media

- Harry Beller is the plaintiff in the court case, also it has been disposed.

[REDACTED]:

- No negative media
- No court cases

Butterfly Trust:

- No negative media
- No court cases

[REDACTED]:

- No negative media
- No court cases

Jeffrey Edward Epstein:

- Negative media relates to the sex offence in the past which are already cleared. (KYC # - 01790655)
- Court cases relates to Jeffrey's sex offence in the past which is already cleared, another is a recent ongoing civil lawsuit pertaining to fraud, but part of normal business operations for this client. And in one of the case he's neither defendant nor plaintiff. He's just named as a respondent and the case is immaterial in nature.

- Criminal Filings relates to sex offence which is already cleared in the past

- RDC alert found - Sex offences in the past which has been cleared - Clearance attached.

[REDACTED]:

- No negative media
- No court cases

Darren Indyke:

- Negative news in Google relates to Jeffrey Epstein's Foundation and are not material in nature.

- Court case mentioned in Google search relates to Jeffrey Epstein's sex offence in the past which has been cleared already. Darren is just an attorney for

Jeffrey in the case.

- Fircosoft alert has been cleared by AML Compliance. Clearance attached.

Richard Kahn:

- No negative media
- Court case was dismissed and he was not barred from NYSE Arca and was cleared in the previous KYCs. Attached clearances
- RDC alert found - realates to violation of NYSE Arca Equities Rule - Clearance attached

[REDACTED]:

- No negative media

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001NOBxm&ic=1&linkToken=VmpFPSxNakF4...> 39/42
negative results found

Yes

negative results found

Yes

Yes

Yes

Yes

Yes

No

No

No

No

No

No

7/15/2019

KYC Print

- No court cases

Erika Kellerhals:

- No negative media

- No court cases

- No negative media

- Court case is immaterial since she is not a defendant nor plaintiff. Her name is just mentioned as miscellaneous. Case is closed as well.

Neptune LLC:

- No negative media

- No court cases

Karyna Shuliak:

- No negative media

- No court cases

- No negative media

- No court cases

Southern Trust Company Inc:

- No negative media

- No court cases

E. To the best of your knowledge, has the client ever been convicted of a criminal offense?

F.

To the best of your knowledge, has the customer ever been involved in any past litigation against

Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche

Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt.

(LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)

G.

Does the client or related party have any financial or other association / interactions within countries

or regimes sanctioned by the Office of Foreign Assets Control (OFAC)?

H.

Does the client or related party have any financial or other association/

interactions within high risk countries?

I. Corporate Documentation Attached (Legal Entities Only)

J. Undisclosed Principal Form Complete (Intermediaries Only)

Yes

No

Yes

No

Yes

No

Yes

Yes

Yes

No

No

No

Not Applicable

Not Applicable

K. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:

L. Special Risk Factors

Does the account have Nexus to Special Risk Countries?

Is the account structure unusually complex?

Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?

Is there any indication this could be a prohibited business relationship?

Are the bearer shares identified subject to acceptable controls?

Yes

Yes

Yes

Yes

Yes

No

No

No

No

No

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[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 40/42

7/15/2019

KYC Print

M. Case Comments

Created By

Date

Comments

This KYC serves as a high risk update for the below listed clients (together "acountholders") –

Kshitij Golani

9/25/118 10:04 AM

1. [REDACTED] Karyna Shuliak

2. Butterfly Trust

3. Neptune LLC

Below are the reasons why we are comfortable with approving this KYC:

- Information and supporting documents required by our AML Policy were provided and reviewed; and as a result, we have an understanding of the structure of the acountholders, their purpose, the purpose of the accounts and expected transaction activity.

- There are a few risk factors associated with the acountholders –

有 SOW: The UBO (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which manages client's assets.

SOW verification was obtained. In addition, Karyna Shuliak is an employee at JSC Interiors. We have her pay stubs under KYC – 1790724.

有 Negative Media & PEP: There is some negative media against Mr Epstein and he is also maintains a close relationship with Bill Clinton and Prince Andrew. Please see risk calculator for more information. Appropriate approval was obtained.

- Our review did not identify any red flags and thus there was no need to escalate this case further.

- We performed due diligence searches on all parties and did not find the names searched to be on any sanctions lists.

Mayur Rathod

9/3/118 3:17 AM

No material changes confirmation "email" attached in the case.

ONSHORE APPROVALS

Client Facing Professional (CFP):

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)

Stewart Oldfield

Steven Mattus

(Signature)

Stewart Oldfield

(Signature)

Steven Mattus

(Signature)

9/5/2018

9/6/2018

AML Compliance:

Kshitij Golani

(Signature)

Kshitij Golani

9/25/2018

LATAM/INTERNATIONAL APPROVALS

Client Facing Professional (CFP):

Account Manager:

Global Market Team Head (GMTH)/SubMarket

Team Head (SMTH):

AML Business Risk:

(Signature)

(Signature)

(Signature)

(Signature)

AML Compliance:

(Signature)

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[lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5000e00001N0Bxm&ic=1&linkToken=VmpFPSxNakF4...) 41/42

7/15/2019

KYC Print

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: Deutsche Bank Private Wealth Management (PWM)

worldwide is committed to professionally serve the interests of its clients.

To do so, Client Facing Professionals¹(1)

(CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of

suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP.

It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

DECLARATION FOR ALL SIGNERS OF THIS FORM: To the best of my knowledge and belief the above information

is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on

the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM

Americas Procedures and the PWM Global KYC Policy

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

Deutsche Bank Americas New York

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