

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01133113

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

1. Relationship Details

Relationship Name:

Relationship Manager:

EPSTEIN, JEFFREY RELATIONSHIP:00000483290

Paul Morris

New PWM Relationship

Relationship to PWM:

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

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 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 at 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

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2

Account Name / Number

Butterfly Trust -- Checking

Butterfly Trust -- Money Market

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)

10/9/2013

10/9/2013

Darren Indyke

Preferred method of

contact(indicate phone no., fax
no., e-mail address, etc.):

No

Existing PWM Relationship

Booking Center:

New York

Status : 6. Approved

212 971 1314

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?->

[lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 1/25

7/15/2019

KYC Print

One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

Butterfly Trust -- Checking

Paul Morris

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 hold funds for the trust.

Indicate from where the assets are expected to arrive?

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

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

Other Institution (Indicate name & location): JPMorgan. New York, NY

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)?: Roughly 5-10 inflows

and outflows per month ranging from \$1,000 to \$20,000

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?

4,000,000.00

5,000,000.00

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
7
8
9
10

Jeffrey
Epstein
Butterfly
Trust
Richard
Kahn
Darren
Indyke

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

Ghislaine
Maxwell
[REDACTED]
[REDACTED]

Trustee;;
Trustee;;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
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
($\geq 25\%$) NonPIC
entity
(indicate
ownership %)
Legal
Representative
Grantor/Settlor Founding
Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)
Grantor;
<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T1...> 2/25

7/15/2019

KYC Print

2. Account Ownership Summary

Account Name:

Account Manager:

Butterfly Trust -- Money Market

Paul Morris

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

Money Market

account. To hold cash for the trust to earn interest

Indicate from where the assets are expected to arrive?

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

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

Other Institution (Indicate name & location): JPMorgan. New York, NY

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)?: Roughly 1-2 inflows and

outflows per month ranging from \$1,000 to \$10,000

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?

500,000.00

1,000,000.00

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
7
8
9
10

Jeffrey
Epstein
Butterfly
Trust
Richard
Kahn
Darren
Indyke

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

Ghislaine
Maxwell

[REDACTED]
[REDACTED]

Trustee;;
Trustee;;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
Beneficiary;
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)

Grantor;

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?->

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 3/25

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:

Jeffrey Epstein - 00000483289

USVI

Litte Saint James Saint Thomas 00802 US Virgin Islands

Self Empolyed

Southern Financial LLC

6100 Red Hook Quarter B3 St. Thomas USVI 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)

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

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)

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:

1/20/1953

USA

Yes No

President

Yes

No

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

Bank Officer Name(s)

Paul Morris

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

9/13/2013

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

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.) Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980.

In 1982,

Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed

the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous except for

the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms

Estimated Annual Income(\$):

Estimated Net Worth(\$):

10,000,000.00

\$100 MM - 500 MM

Other Known Financial Institutions:

Institution:

JPM

Institution:

Deutsche Bank

Estimated amount of investable assets(\$):

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

\$50 MM - 100 MM

5,000,000.00

Country:

Country:

USA

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

120,000,000.00

70,000,000.00

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 4/25

7/15/2019

KYC Print

Institution:

Country:

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

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 5/25

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 Indyke - 00000486405

USA

Attorney

Southern Financial LLC

6100 Red Hook Quarter B3 Livingston USVI 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)

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

or Friendship, describe)

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)

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)

Paul Morris

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

9/13/2013

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 6/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...> 7/25

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 Kahn - 00000486407

USA

Accountant

Southern Financial, LLC

6100 Red Hook, Quarter B3 St Thomas US Virgin Islands 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)

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

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)

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:

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

Bank Officer Name(s)

Paul Morris

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

9/13/2013

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...) 8/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T1...> 9/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)


Ghislaine Maxwell -

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 10/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 11/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)

[REDACTED]

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 12/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 13/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)

[REDACTED]

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 14/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 15/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)

[REDACTED]

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 16/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 17/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)

[REDACTED]

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 18/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 19/25

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:

c/o HBRK Associates

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

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)

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

or Friendship, describe)

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)

[REDACTED]

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:

Yes No

Yes No

Yes

Family

No

Friendship

None

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:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 20/25

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=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...> 21/25

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):

6100 Red Hook Quarter B3 St, Thomas 00802 USVI

USA

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:

26-6639711

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.:

Grantor: Jeffrey Epstein

Trustees: Darren K. Indyke, Richard Kahn

Please indicate how ownership of the legal entity is reflected: Grantor:

Jeffrey Epstein

Trustees: Darren K. Indyke, Richard Kahn

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): Grantor: Jeffrey Epstein

Trustees: Darren K. Indyke, Richard Kahn

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

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Countries where business is transacted:

Number of employees:

USA, USVI

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?

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. The trust is for the benefit of the 6 named individuals

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:

JPMorgan

Institution:

Institution:

No

12/27/2006

Private Investment

Philanthropic/Charitable

Commercial

Trust account

\$5 MM - 10 MM

4,500,000.00

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

4,500,000.00

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 22/25

7/15/2019

KYC Print

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

Relationship Name

Risk Rating Comments:

Booking Center

EPSTEIN, JEFFREY RELATIONSHIP

NY

NY/Offshore Offshore

Moderate

Risk

High Risk Andrew Kisz

(Compliance Signature)

DB Employee

DB Managed PIC

DB is Trustee/Co-Trustee

4. Attachments

A. Type of Photo ID Provided

Drivers License

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)

Passport

Yes

National/State ID

No

Other

Bearer Shares

Yes

Yes

Yes

Yes

Yes

Yes

No

No

No

No

No

No

negative results found

Yes

negative results found

Yes

Yes

Yes

Yes

Yes

No

No

No

No

No

No

Please summarize any negative results from the database searches indicated above: BUTTERFLY TRUST:

Negative Media: All negative media pertains to a company called the Butterfly Trust in Europe. This is not our client. Our client is an actual trust created by a Grantor and not a company. The other negative media does not pertain to "Butterfly Trust". It is only cited because the words "butterfly" and "trust" are next to each other

Court Cases:

1. This is study material for a law class. The Butterfly Trust mentioned in this is not our client

JEFFREY EPSTEIN:

Previously approved KYC #:01082293 & 01121718

DARREN INDYKE:

No Negative Media

No Court Cases

KYC Approved: #1133377

D.

RICHARD KAHN:

See attached clearance from AML

Approved KYC: #01082293 and 1133377

GHISLAINE MAXWELL:

No PCR or RDC alerts

██████████:

No PCR or RDC alerts

██████████:

No PCR or RDC alerts

██████████:

Attached AML Clearance

██████████:

Attached AML Clearance

██████████:

No PCR or RDC Alert

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

Yes

Yes

No

No

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-
lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T...) 23/25

7/15/2019

KYC Print

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

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

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TLEyC&ic=1&linkToken=VmpFPSxNakF4T...) 24/25

7/15/2019

KYC Print

M. Case Comments

No records to display.

ONSHORE APPROVALS

Client Facing Professional (CFP):

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)

Paul Morris

Brian M. Biggar

(Signature)

Paul Morris

(Signature)

Brian M. Biggar

(Signature)

10/2/2013

10/3/2013

AML Compliance:

Jacqueline Lightbody

Andrew Kisz

(Signature)

Jacqueline Lightbody

Andrew Kisz

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)

1/23/2014

1/23/2014

AML Compliance:

(Signature)

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
<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000TlEyC&ic=1&linkToken=VmpFPSxNakF4T...> 25/25