

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01344537

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: Update of KYC

#01133113. Trustees have changed

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/Butterfly Trust are current clients of the 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

Harry Beller

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

No

Existing PWM Relationship

Booking Center:

New York

Status : 6. Approved

212 564 5900

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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?

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  
Harry  
Beller  
Erika  
Kellerhals

[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;

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

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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?

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  
Harry  
Beller  
Erika  
Kellerhals

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

Ghislaine  
Maxwell

[REDACTED]  
[REDACTED]

Trustee;;  
Trustee;;  
Beneficiary;  
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=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...)  
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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:

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

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KYC Print

Institution:

Country:

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

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:

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:

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

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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:

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:

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

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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:

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:

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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:

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:

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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:

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

[lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...) 14/25

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:

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

[lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...) 16/25

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:

Harry Beller - 00000487202

USA

Accountant

HBRK Associates, Inc

575 Lexington Avenue, 4th Floor Monsey NY USA 10022

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)

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=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...) 18/25

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:

Erika Kellerhals - 00000499664

USA

9100 Port of Sale Mall, Ste 15 St. Thomas 00802 USVI

Attorney

Kellerhals Ferguson Kroblin PLLC

9100 Port of Sale Mall, Ste 15 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:

[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:

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Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

[lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...) 20/25

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):

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

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

(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.

No court cases

JEFFREY EPSTEIN:

Previously approved KYC #:01082293 & 01121718

All negative media pertains to court cases which have been previously approved in the above mentioned KYCs.

Court Cases have been closed

HARRY BELLER:

No negative media

No court cases

D.

ERIKA KELLERHALS:

No negative media

No court cases

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

Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l)

Yes

Yes

No

No

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...> 23/25

7/15/2019

KYC Print

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?-lid=01N30000000D9Di&eid=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...>

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

Kimberly Hart

(Signature)

Paul Morris

(Signature)

Kimberly Hart

(Signature)

2/10/2015

2/10/2015

AML Compliance:

Yoonsun Chung

Gwen Hill

(Signature)

Yoonsun Chung

Gwen Hill

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)

2/11/2015

2/11/2015

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 Professionals<sup>1</sup>(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=5006000000kzNfy&ic=1&linkToken=VmpFPSxNakF4T1...> 25/25