

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01651789

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

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: Update of KYC #01133113. Beneficiaries 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

(President of Gratitude America) is a current client of the bank and reached out to Stewart Oldfield to update the beneficiaries to his Butterfly Trust.

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

No

Existing PWM Relationship

Booking Center:

New York

Status : 6. Approved

Harry Beller

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

212 564 5900

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lid=01N30000000D9Di&eid=50032000015VRr0&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=50032000015VRr0&ic=1&linkToken=VmpFPSxNakF4T1...) 1/15

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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  
Jeffrey  
Epstein  
Harry  
Beller  
Erika  
Kellerhals  
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):  
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;

Trustee;;

Trustee;;

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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

Jeffrey  
Epstein  
Butterfly  
Trust  
Harry  
Beller  
Erika  
Kellerhals  
Trustee;;  
Trustee;;  
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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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

Self Empolyed

Southern Financial LLC

6100 Red Hook Quarter B3 St. Thomas 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

Estimated amount of investable assets(\$):

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

\$50 MM - 100 MM

5,000,000.00

Country:

USA

Est. Assets Under Mgt:

120,000,000.00

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Institution:

Institution:

Deutsche Bank

Country:

Country:

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

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

70,000,000.00

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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 - 00000487202

USA

12 Golar Drive Monsey NY 10952 United States

Accountant

HBRK Associates, Inc

575 Lexington Avenue, 4th Floor Monsey NY United States 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:

[REDACTED]

USA

Yes No

[REDACTED]

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 - 00000499664

USA

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

Attorney

Kellerhals Ferguson Kroblin PLLC

9100 Port of Sale Mall, Ste 15 St. Thomas 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:

USA

Yes No

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 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):

USA

Determination Required

6100 Red Hook Quarter B3 St, Thomas 00802 United States

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

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.:

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]

[REDACTED]

[REDACTED]

[REDACTED]

Darren Indyke

[REDACTED]

[REDACTED]

Karyna Shuliak

[REDACTED]

[REDACTED]

Richard Kahn

[REDACTED]

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: trust agreement

Special attention: Bearer Shares - Indicate where shares are custodied:  
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Private Investment  
Philanthropic/Charitable  
Commercial

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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.

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:

Trust account

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:

4,500,000.00

4,500,000.00

\$5 MM - 10 MM

4,500,000.00

No

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?lid=01N30000000D9Di&eid=50032000015VRr0&ic=1&linkToken=VmpFPSxNakF4T...> 11/15

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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 Yoonsun Chung

(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)

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

negative results found

negative results found  
negative results found  
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

D.

RDC alerts for Richard Kahn came up but they were all false positives as the age and locations of the alerts did not match the age and address on file.

HARRY BELLER:

No negative media

Court case lists him as a defendant for being chief of medical staff for Jackson Memorial Hospital. The court concluded that the plaintiff had no cognizable

claim that his civil rights has been violated, but refused to dismiss his complaint as to his antitrust claim Defendants' motion was thus granted in part and

denied in part. The defendants listed in this case have not committed any illegal acts of conduct in any way. The case was settled on 6/30/1987.

ERIKA KELLERHALS:

No negative media

Erika is an attorney and listed as legal counsel for several court case.

Court case to appeal from a decision of the bankruptcy court. Appellee trustee moved to

dismiss the appeal for failure to prosecute under Fed R. of the six Poulis factors, five weighed in favor of dismissal and it was granted. Another court case for

dissolving of marriage and property settlement. The case was concluded.

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?

Yes

No

Yes

No

Yes

No

Yes

No

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I. Corporate Documentation Attached (Legal Entities Only)

J. Undisclosed Principal Form Complete (Intermediaries Only)

Yes

Yes

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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7/15/2019

KYC Print

M. Case Comments

Created By

Cynthia Rodriguez

Cynthia Rodriguez

Cynthia Rodriguez

Cynthia Rodriguez

Cynthia Rodriguez

Date

2/2/117 9:55 AM

12/30/116 11:29 AM

Attached is the acknowledged instrument for the addition and deletion of the beneficiaries, signed by the trustees

and the grantor.

2/1/117 11:23 AM

1/30/117 2:45 PM

12/19/116 5:02 PM

Amended list of beneficiaries attached to include [REDACTED]. Research is also attached.

Jason Shames advised on 1/03/2017 that fully executed addition of beneficiary forms by the trustee, along with

acknowledgment signature from the grantor are what is needed to make changes to the beneficiaries of the trust.

Attached are the supporting documents for the addition/deletion of benes of this trust.

ONSHORE APPROVALS

Client Facing Professional (CFP):

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)

terri sohrab

Armen Brash

(Signature)

terri sohrab

(Signature)

Armen Brash

(Signature)

12/15/2016

12/15/2016

Comments

Email confirmation from Jason Shames is attached.

During the lifetime of the grantor, the trustees have the right to add/delete beneficiaries under Article Third of

the Trust agreement by an acknowledged instrument delivered to the Grantor.

AML Compliance:

Ricardo Mendoza

Yoonsun Chung

(Signature)

Ricardo Mendoza

Yoonsun Chung

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)

2/2/2017

2/2/2017

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

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7/15/2019

KYC Print

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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