

7/15/2019

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01804531

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:

Existing PWM Relationship

If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile: ***This KYC is a periodic review for high risk remediation***

Original KYC1121946

Client Referral

How Was the Client(s)

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

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

RM Prospect

Intermediary/FIM

Other Source (CIB, etc.)

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

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2

3

Account Name / Number

The Haze Trust - Deposit- [REDACTED]

Butterfly Trust - Deposit- [REDACTED]

The 2007 Jeffrey E. Epstein Insurance Trust #3 - Deposit- [REDACTED]

Who is the primary contact

person for the RM? (Note: This person needs to have signatory

rights and/or information right
for the accounts.):

Opening Date (intended/actual)

2/27/2017

1/24/2014

10/16/2013

Darren Indyke

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

No

Booking Center:

New York

Status : 6. Approved

212-971-1307

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...> 1/43

7/15/2019

KYC Print

One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

The Haze Trust - Deposit

stewart oldfield

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

this is a

deposit account to hold cash for the trust

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number): [REDACTED]

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

Other Institution – (Indicate name & location):

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

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: collecting interest on

current balance...no inflows/outflows

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?

21,063,409.16

21,077711.01

Yes No

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

Account

Holder

Parties

related

to this

account

Jeffrey
1
2
3
E.
Epstein
The
Haze
Trust
Darren
Indyke
Trustee;;
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)

OTH:beneficiary
of The Haze
Trust;

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-
lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 2/43

7/15/2019

KYC Print

2. Account Ownership Summary

Account Name:

Account Manager:

Butterfly Trust - Deposit

stewart oldfield

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

This is a

deposit 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):

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)?: no inflows/-outflows

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?

2.99

2.99

Yes No

Please list all parties related to the account.

For each party:

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

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

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

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

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

Legal

Entity

Description

of Source

of Wealth

required

Parties

related to

this

account

1

Karyna

Shuliak

2

[REDACTED]

3
Richard D.
Kahn

4
[REDACTED]

5
6
7
Darren
Indyke

[REDACTED]

8
[REDACTED]

Beneficiary
of Butterfly
Trust;
[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-
lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 3/43
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)

beneficiary
of the
butterfly
trust;

Beneficiary
of Butterfly
Trust;

Beneficiary
of Butterfly
Trust;

7/15/2019

9

KYC Print

[REDACTED]

10

11

12

13

14

15

16

Estocado

Rabuyo

[REDACTED]

Butterfly

Trust

Erika

Kellerhals

Harry

Beller

Jeffrey E.

Epstein

Beneficiary

of Butterfly

Trust;

Beneficiary

of Butterfly

Trust;

Beneficiary

of Butterfly

Trust;

Beneficiary

of Butterfly

Trust;

Trustee;;

Trustee;;

grantor;

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 4/43

7/15/2019

KYC Print

2. Account Ownership Summary

Account Name:

Account Manager:

The 2007 Jeffrey E. Epstein Insurance Trust #3 - Deposit
stew oldfield

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

account to hold funds for this trust.

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number): [REDACTED]

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

Other Institution – (Indicate name & location):

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

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: no inflows/-outflows

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?

259.05

259.05

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

[REDACTED]

[REDACTED]

The 2007

2
3
4
5

Jeffrey E.
Epstein
Insurance
Trust #3
Jeffrey E.
Epstein
Darren
Indyke
Richard
D. Kahn
grantor;
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)

Beneficiary
of The 2007
Jeffrey E.
Epstein
Insurance
Trust #3;

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-
lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 5/43

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:

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] - 00000565313

Date of Birth:

Country of Citizenship:

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

Tax ID / SSN:

Position/Title/Rank:

[REDACTED]

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

Bank Officer Name(s)

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

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

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 6/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...> 7/43

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:

Karyna Shuliak - 00000489504

[REDACTED]

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

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

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:

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...) 8/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T1...> 9/43

7/15/2019

KYC Print

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

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

[REDACTED] - [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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

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

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]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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

Bank Officer Name(s)

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 10/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 11/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 12/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 13/43

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:

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:

[REDACTED]

[REDACTED]pplicable, 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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 14/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 15/43

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:

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:

7/25/1994

Switzerland

Yes No

X2488823

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 16/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 17/43

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:

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:

[REDACTED]

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

Bank Officer Name(s)

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

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

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 18/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 19/43

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:

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]

[REDACTED]

[REDACTED]

[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:

[REDACTED]

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

Bank Officer Name(s)

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

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

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 20/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 21/43

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:

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]

[REDACTED]

[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:

[REDACTED]

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

Bank Officer Name(s)

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

Bank Office:

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

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

activities, important business partners.)

Estimated Annual Income(\$):

Estimated Net Worth(\$):

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 22/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 23/43

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:

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]

[REDACTED]

[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:

[REDACTED]

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?->

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 24/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 25/43

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

Accountant

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:

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:

9/6/2013

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 26/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 27/43

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 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]

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 28/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 29/43

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 United States

Attorney

Kellerhals Ferguson Kroblin PLLC

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

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 30/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 31/43

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 E. Epstein - 00000483289

USVI

Litte Saint James Saint Thomas 00802 United States

Self Empolyed

Southern Financial LLC

6100 Red Hook Quarter B3 St. Thomas United States 00802

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

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

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

Andrew and Bill Clinton

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

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)

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:

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.) Jeffrey Edward Epstein (born January 20, 1953) is an American financier and registered sex offender in the United States.

He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. In 2008, Epstein was convicted of soliciting an underage girl for

prostitution, for which he served 13 months in prison. He lives in the US Virgin Islands. Epstein taught calculus and physics at the Dalton School in Manhattan from

1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns.

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

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

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

In 1987, Leslie

Wexner, founder and chairman of Ohio-based The Limited chain of women's

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

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

In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and <https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 32/43

7/15/2019

KYC Print

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

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

Estimated Annual Income(\$):

Estimated Net Worth(\$):

10,000,000.00

\$500 MM +

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

\$50 MM - 100 MM

Country:

Est. Assets Under Mgt:

Country:

Country:

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

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 33/43

7/15/2019

KYC Print

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

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Richard D. Kahn - 00000486407

USA

Accountant

HBRK Associates, Inc

575 Lexington Ave, 4th Fl New York 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:

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 34/43

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 35/43

7/15/2019

KYC Print

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

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

Legal Entity Name:

Type of Entity:

Type of Entity Other (specify):

Country of

incorporation/registration:

Volcker Status:

Address (city, street, post code):

United States Virgin Islands

Identified on Customer Profile

6100 Red Hook Quarter B3 St, Thomas 00802 United States

The Haze Trust - 00000486428

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

U.S. TIN/EIN:

2/9/1999

No

13-7185414

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.:

Jeffrey Epstein: Grantor/Beneficiary

Darren Indyke: Trustee

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

Darren Indyke: Trustee

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): Jeffrey Epstein: Grantor/-Beneficiary

Darren Indyke: Trustee

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

2

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):

The trust was initially funded with \$100 from Jeffrey Epstein. The trust makes and holds investments and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.

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:

DB

Institution:

Institution:

300,000.00

200,000.00

\$20 MM - 50 MM

200,000.00

No

The trust was initially funded with \$100. The trust makes and holds investments and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.

Private Investment

Philanthropic/Charitable

Commercial

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

23,000,000.00

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 36/43

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):

USA

Identified on Customer Profile

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]

[REDACTED]

[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:
<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 37/43
Private Investment
Philanthropic/Charitable
Commercial

7/15/2019

KYC Print

Special attention: Bearer Shares - Indicate where shares are custodied:
Describe the chain from the direct owner of the entity to the ultimate
beneficial owner (if not the same persons):

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)?:

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.

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

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

Estimated investable assets (\$):

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

Other Known Financial Institutions:

Institution:

Institution:

Institution:

4,500,000.00

4,500,000.00

\$5 MM - 10 MM

Yes

No

Trust account

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 38/43

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):

USVI

Determination Required

575 Lexington Ave, 4th Fl New York NY 10022 United States

The 2007 Jeffrey E. Epstein Insurance Trust #3 - 00000487199

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

U.S. TIN/EIN:

11/1/2007

No

26-6387242

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.:

Jeffrey Epstein: Grantor

Darren Indyke: Trustee

Richard Kahn: Trustee

Please indicate how ownership of the legal entity is reflected:

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):

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)?:

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Countries where business is transacted:

Number of employees:

USVI, USA

2

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):

The funds for this trust account come from contributions made by the Grantor, Jeffrey Epstein. His source of wealth can be found in his wealth profile

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

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

Estimated investable assets (\$):

<\$1 MM

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

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Yes

No

Private Investment

Philanthropic/Charitable

Commercial

Trust account

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=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 39/43

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 Yoonsun Chung

(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

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. D.

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.

Civil court case 1:15cv7433 [REDACTED] v Ghislaine Maxwell for assault, libel & slander. [REDACTED] was listed as a miscellaneous party but the case was

closed in May 2017. She was not listed as a plaintiff nor a defendant, and

was not charged with anything. She does not pose a risk to the bank.

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.

H.

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

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)?

Yes

No

Yes

No

Yes

Yes

No

No

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 40/43

7/15/2019

KYC Print

countries?

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

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 41/43

7/15/2019

KYC Print

M. Case Comments

Created By

Cynthia Rodriguez

Cynthia Rodriguez

Date

9/6/117 12:05 AM

9/6/117 12:09 AM

Comments

recent research and google searches for Erika Kellerhals can be found in approved case 01790655.

ID for Erika Kellerhals can be found in approved case 01344537

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

Kshitij Golani

9/6/117 3:22 PM

1. The Haze Trust

2. Butterfly Trust

3. The 2007 Jeffrey E. Epstein Insurance Trust #3

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

- Information and supporting documents required by our AML Policy were provided and reviewed; and as a result,

we have an understanding of the structure of the accountholders, their purpose, the purpose of the accounts and expected transaction activity.

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

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

SOW verification was obtained.

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

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

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

No material changes confirmed by the client via phone on 08/22/2017.

Cynthia Rodriguez

8/24/117 5:25 PM

No GBSA forms required as determination is already noted on the system.

Beneficiaries are all added as parties with DOB, SSN/Passport #s, address & IDs

ONSHORE APPROVALS

Client Facing Professional (CFP):

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)
Chuck Walker
Steven Mattus
(Signature)

Chuck Walker
(Signature)
Steven Mattus
(Signature)

8/25/2017
8/29/2017

AML Compliance:

Kshitij Golani
Yoonsun Chung
(Signature)

Kshitij Golani
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)

9/6/2017

9/6/2017

AML Compliance:

(Signature)

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...> 42/43

7/15/2019

KYC Print

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

worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals¹(1) (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

DECLARATION FOR ALL SIGNERS OF THIS FORM: To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM

Americas Procedures and the PWM Global KYC Policy

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

Deutsche Bank Americas New York

[https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...)

[lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...](https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?-lid=01N30000000D9Di&eid=5003200001EHPpb&ic=1&linkToken=VmpFPSxNakF4T...) 43/43