

Subject: RE: 2018 Periodic Review of High Risked Accounts Southern Trust Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]

From: Stewart Oldfield <[REDACTED]>  
Date: Wed, 26 Sep 2018 11:23:43 -0400  
To: Vijay-A Sawant <[REDACTED]>, Bradley Gillin <[REDACTED]>  
Cc: Mayur Rathod <[REDACTED]>, Richard Iarossi <[REDACTED]>

Submitted. Thanks

From: Vijay-A Sawant  
Sent: Wednesday, September 26, 2018 9:58 AM  
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>  
Cc: Mayur Rathod <[REDACTED]>; Richard Iarossi <[REDACTED]>  
Subject: RE: 2018 Periodic Review of High Risked Accounts Southern Trust Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]  
Importance: High

Hi Brad,

Many thanks for the docs & clarification, we are assigning this case (01977695) to Stewart for review.

@Stewart, kindly advise if any issues, or else please forward to the AML team for final approval, thanks.

Kind Regards,

{cid:[REDACTED]}

Vijay Sawant

KYC Case Representative

Deutsche CIB Centre Private Limited - Deutsche Bank Group

Wealth Management

B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway

Goregaon East, Mumbai - 400063 , India

Tel. +91(22)6181-1485

Mobile +91 9833729812

[REDACTED]

From: Bradley Gillin

Sent: Monday, September 24, 2018 8:33 PM

To: Vijay-A Sawant <[REDACTED]>; Stewart Oldfield

<[REDACTED]>

Cc: Mayur Rathod <[REDACTED]>; Richard Iarossi

<[REDACTED]>

Subject: RE: 2018 Periodic Review of High Risked Accounts Southern Trust Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]

Classification: Confidential

See attached COGS for Zorro.

Regarding Section b of the CDD form for Southern Trust Company, Inc, the client has successfully included the entity type - 'Inc.' is a corporation.

Thank you.

Regards,  
Brad

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EFTA01417851

{cid:image001.gif@01D453F6.1BD79340}

Bradley Gillin  
Vice President  
Deutsche Bank Wealth Management  
345 Park Avenue, 24th Fl  
New York, NY 10154

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant  
Sent: Monday, September 24, 2018 10:28 AM  
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield  
<[REDACTED]>  
Cc: Mayur Rathod <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Subject: RE: 2018 Periodic Review of High Risked Accounts Southern Trust  
Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro  
Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
Importance: High

Hello Brad/Stewart,

I kind reminder of the below query, just to reiterate, the pending items are listed below for your convenience –

- SoS or COGS (dtd within last 6 months) from US Virgin Islands registry for Zorro Management LLC
- Section b of the attached CDD form for Southern Trust Company, Inc needs to reflect the "Type of Entity", as indicated in the form

Once the above items are received, we can submit this KYC# 01977695 to the next stages for AML approval, thanks.

EFTA01417852

Kind Regards,

{cid: [REDACTED]}

Vijay Sawant

KYC Case Representative  
Deutsche CIB Centre Private Limited - Deutsche Bank Group  
Wealth Management  
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway  
Goregaon East, Mumbai - 400063 , India  
[REDACTED]  
[REDACTED]

From: Vijay-A Sawant  
Sent: Wednesday, August 22, 2018 7:47 PM  
To: Bradley Gillin <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Cc: Mayur Rathod <[REDACTED]>; Stewart Oldfield  
<[REDACTED]>  
Subject: RE: 2018 Periodic Review of High Risked Accounts Southern Trust  
Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro  
Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP [I]  
Importance: High

Hello Brad,

As per your attached no material confirmation for the above accounts and revised CDD Forms provided (in separate emails), we have launched KYC Case#01977695 for these accounts.

We are in the middle of completing all the searches and reviewing adverse media, etc. We will advise if anything required.

In the meantime, after review of all accounts, we confirm that we require the following item for this case –

- SoS or COGS (dtd within last 6 months) from US Virgin Islands registry for Zorro Management LLC

Kindly forward the same, so we can push this case to the next stages at the earliest, thanks.

Kind Regards,

{cid: [REDACTED]}

Vijay Sawant

KYC Case Representative  
Deutsche CIB Centre Private Limited - Deutsche Bank Group  
Wealth Management  
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway  
Goregaon East, Mumbai - 400063 , India

[REDACTED]

[REDACTED]

From: Vijay-A Sawant  
Sent: Monday, July 30, 2018 2:39 PM  
To: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>  
Cc: Mayur Rathod <[REDACTED]>  
Subject: 2018 Periodic Review of High Risked Accounts Southern Trust Company, Inc (GCIS#483883), Epstein, Jeffrey E. (GCIS#483289) and Zorro Management, LLC (GCIS#550331) under the SOUTHERN FINANCIAL RELATIONSHIP  
Importance: High

Hello Brad/Stewart,

This review relates to above high risk three accounts due for remediation 08/31/2018.

Upon review of the docs available in the repositories, I have completed the attached checklist, main RP's also listed below for reference –

Acct Holder ----- Southern  
Trust Company, Inc  
  
President, Sole Shareholder & Authorized Signatory - Jeffrey Epstein  
  
Vice President, Secretary & Authorized Signatory ----- Darren K. Indyke  
  
Treasurer ----- Richard Kahn  
  
SOW Company ----- Financial Trust  
Company

Kindly advise whether are above identified RP's are correct or not and whether there are any material changes in this account?

We require SoS extracted from British Virgin Islands website for the account holding entity. We are unable to extract the same as there is a cost involved with the request, so kindly provide the same. Note we already have the COE (Certificate of Existence) for this entity. The SoS is required so we can evidence that this entity is still registered with the authorities and is active.

Regarding CDD form, already provided on this account, (also attached in this email for reference), please note that under section c, Jeffrey Epstein's legal address is incorrect. It seems they have provided the entity address here instead of Jeffrey's personal address. I am attaching Jeffrey's driver's license which confirms his personal address. Request you to kindly have that amended by the client & re-send revised form accordingly.

Acct Holder – Epstein, Jeffrey E.

SOW Company - Financial Trust Company

Kindly advise if there are any material changes to this account? ID docs are in order, please advise in case any SOW company that requires inclusion, is missing?

This account will be part of KYC of above entity.

Acct Holder – Zorro Management. LLC

Sole Member & Authorized Signature – Jeffrey Epstein

Authorized Signatories – Darren D. Indyke, [REDACTED] & Brice M Gordon

Upon review, completed checklist attached for reference. Kindly advise if there are any material changes to this account?

We require SoS extracted from US Virgin Islands website for the account holding entity. We are unable to extract the same as there is a cost involved with the request, so kindly provide the same. Note we already have the COE (Certificate of Existence) for this entity. The SoS is required so we can evidence that this entity is still registered with the authorities and is active.

Regarding CDD form, already provided on this account, (also attached in this email for reference), please note that under section c, Jeffrey Epstein's legal address is incorrect. It seems they have provided the entity address

here instead of Jeffrey's personal address. I am attaching Jeffrey's driver's license which confirms his personal address. Request you to kindly have that amended by the client & re-send revised form accordingly.

I will launch KYC case for all above accounts upon your confirmation of material changes query above, thanks.

Kind Regards,

{cid: [REDACTED]}

Vijay Sawant

KYC Case Representative  
Deutsche CIB Centre Private Limited - Deutsche Bank Group  
Wealth Management  
B1, DB Centre Mumbai, Nirlon Knowledge Park, Western Express Highway  
Goregaon East, Mumbai - 400063 , India

[REDACTED]

[REDACTED]