

Subject: RE: Epstein - negative media [I] [C]  
From: Vijay-A Sawant <[REDACTED]>  
Date: Thu, 15 Nov 2018 03:52:43 -0500  
To: Stewart Oldfield <[REDACTED]>,  
Daphne Cales <[REDACTED]>,  
Vinita Advani <[REDACTED]>,  
Alka Babu <[REDACTED]>,  
Mayur Rathod <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>,  
Richard Iarossi <[REDACTED]>

Many thanks Stewart!!

We have submitted a few rejection cases from the Southern Financial Relationship based on the below approval.

Kindest Regards,

{cid:1\_\_=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

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: Stewart Oldfield  
Sent: Wednesday, November 14, 2018 6:49 PM  
To: Daphne Cales <[REDACTED]>; Vinita Advani  
<[REDACTED]>; Vijay-A Sawant <[REDACTED]>; Alka Babu  
<[REDACTED]>; Mayur Rathod <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Subject: Fwd: Epstein - negative media [I] [C]

Stewart Oldfield, CFA, CAIA

Director

Deutsche Bank Trust Company Americas

Deutsche Bank Wealth Management

345 Park Avenue, New York, NY 10154

[REDACTED]

[REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

Begin forwarded message:

From: Kimberly Hart <[REDACTED]>  
Date: November 14, 2018 at 8:16:36 AM EST  
To: Yoonsun Chung <[REDACTED]>, Mayur Rathod <[REDACTED]>  
Cc: Andrew Gallivan <[REDACTED]>, Stewart Oldfield

<[REDACTED]>, Richard Iarossi <[REDACTED]>, Bradley Gillin <[REDACTED]>

Subject: FW: Epstein - negative media [I] [C]

Classification: Confidential

Yoonsun/Mayur –

I received the below email from Andrew Gallivan confirming his comfort with continuing the Epstein relationship. I do not see any new allegations that have not been previously considered and risk accepted. The recent lawsuit appears to be unfounded and was promptly withdrawn. Please let me know if you are seeing something additional that should be considered and escalated. Otherwise, I think that we can proceed based on the previous clearance.

Regards,

Kim

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Kimberly Hart  
Managing Director | Divisional Control Officer

Wealth Management Americas

Deutsche Bank Trust Company Americas  
345 Park Avenue, 14th floor, New York, NY 10154

[REDACTED]  
[REDACTED]  
[REDACTED]  
Email [REDACTED]

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From: Andrew Gallivan  
Sent: Tuesday, November 13, 2018 10:38 AM  
To: Stewart Oldfield <[REDACTED]>; Kimberly Hart

<[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Subject: RE: Epstein - negative media [I] [C]

Classification: Confidential

Based on the below I approve continuing this relationship

Regards,  
Andrew Gallivan

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Andrew Gallivan

Deutsche Bank Trust Company Americas  
345 Park Avenue, 10154-0004 New York, NY, USA

[REDACTED]  
[REDACTED]  
[REDACTED]  
Email [REDACTED]

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From: Stewart Oldfield  
Sent: Wednesday, November 07, 2018 5:12 PM  
To: Andrew Gallivan <[REDACTED]>; Kimberly Hart  
<[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi  
<[REDACTED]>  
Subject: FW: Epstein - negative media [I]

I have more info as outlined below based on a conversation with Jeffrey's lawyer.

Andrew – please confirm that you remain comfortable with the business risk here.

Kim – please forward as necessary

Summary of situation:

This was a frivolous lawsuit that was quickly withdrawn by the plaintiff attorneys upon response from Epstein's lawyers.

The person ultimately behind the lawsuit was Steven Hoffenberg, who was convicted of fraud and served a long jail sentence.

Hoffenberg was called "unstable" and "manic" by the judge that sentenced him. He repeatedly filed lawsuits against the government from jail and against other people (including his lawyers), all of which were dismissed.

He convinced the plaintiffs to file this suit as a class action. That way Hoffenberg wouldn't be the plaintiff himself.

The original matter here was thoroughly investigated by the SEC and others and Hoffenberg was the only person deemed to have been involved.

If you Google Hoffenberg, it's easy to find the full history here. I think we should accept this matter as closed on our side.

Thanks

From: Richard Iarossi  
Sent: Thursday, October 18, 2018 5:22 PM  
To: Kimberly Hart <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>; Stewart Oldfield <[REDACTED]>  
Subject: RE: Epstein - negative media [I]

Classification: For internal use only

Hi Kim,

AML Compliance (Yoonsun) has requested that we receive your approval to move forward on all Southern Financial/Epstein KYC remediation's.

As per your discussions with Stew regarding the latest lawsuit against Jeffrey, please find the attached 'Notice of Dismissal' dated 10/5/18.

As this occurred after your approval on 10/2/17, please confirm again that we are comfortable moving forward.

Thank You,

Rich

Richard Iarossi  
Assistant Vice President

Deutsche Bank Wealth Management  
345 Park Avenue, 24th Floor  
New York, NY 101

Securities offered through Deutsche Bank Securities Inc.

From: Kimberly Hart  
Sent: Tuesday, October 09, 2018 12:15 PM  
To: Stewart Oldfield <>

Cc: Bradley Gillin <[REDACTED]>  
Subject: RE: Epstein - negative media [I]

Classification: For internal use only

Was this returned as an RDC alert – or part of the regular Lexis/Nexis due diligence?

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Kimberly Hart  
Managing Director | Divisional Control Officer

Wealth Management Americas

Deutsche Bank Trust Company Americas  
345 Park Avenue, 14th floor, New York, NY 10154

[REDACTED]  
[REDACTED]  
[REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Stewart Oldfield  
Sent: Tuesday, October 09, 2018 11:03 AM  
To: Kimberly Hart <[REDACTED]>  
Cc: Bradley Gillin <[REDACTED]>  
Subject: Epstein - negative media

Kim,

This just surfaced in our latest KYC reviews. Let's discuss what info I need from the client and then next steps. Thanks

[http://www.classactionsreporter.com/sites/default/files/-towers\\_ponzi\\_scheme\\_complaint.pdf](http://www.classactionsreporter.com/sites/default/files/-towers_ponzi_scheme_complaint.pdf)

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Stewart Oldfield, CFA, CAIA  
Director

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154

[REDACTED]  
[REDACTED]  
Email [REDACTED]

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