

KYC Print

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01082293

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details

Relationship Name:

Relationship Manager:

Relationship to PWM:

If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile:

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 was a client of Paul's at JP Morgan. Paul and Jeffrey Epstein had a mutual friend/colleague who introduced them while Paul was at JPMorgan. Over the course of a few meetings Paul was able to get Jeffrey to bring some of his funds over to JPMorgan

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2

3

4

Account Name / Number

Southern Financial, LLC

Southern Financial, LLC

Southern Trust Company, Inc.

Southern Trust Company, Inc.

Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):

Jeffrey Epstein

Preferred method of

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

Opening Date (intended/actual)

8/19/2013

8/19/2013

8/19/2013

8/19/2013

No

EPSTEIN, JEFFREY RELATIONSHIP:00000483290

Paul Morris

New PWM Relationship

Existing PWM Relationship

Booking Center:

New York

Status : 6. Approved

340 775 2525

[https://-](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLF1XWmtNR0po&autoMapValues=1)

[dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLF1XWmtNR0po&autoMapValues=1](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLF1XWmtNR0po&autoMapValues=1)[7/10/2019 11:18:17 AM]

KYC Print

One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

Southern Financial, LLC

Paul Morris

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

Money

Market. To hold funds for the company.

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number):

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

Other Institution (Indicate name & location): JPMorgan, NYC

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

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 2 inflows &

outflows per month ranging from \$1000 to \$10,000.

What is the expected volume of assets and currency for the account approx. 90 days after opening?

What is the expected volume of assets and currency for the account approx. one year after opening?

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?

Please list all parties related to the account.

For each party:

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

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

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

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

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

Legal

Entity

Description

of Source

of Wealth

required

Parties

related to

this

account

1

2

Jeffrey

Epstein

Southern

Financial

LLC
Southern
Trust is the
sole
3
Southern
Trust
Company,
Inc.
100
member of
Southern
Financial
and Jeffrey
Epstein is
the sole
shareholder
of Southern
Trust;
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
50,000
150,000
Yes
No
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)
Sole
shareholder
of Southern
Trust;

[https://-
dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-
wem1JLF1XWmtNR0po&autoMapValues=1\[7/10/2019 11:18:17 AM\]](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLF1XWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

KYC Print

2. Account Ownership Summary

Account Name:

Account Manager:

Southern Financial, LLC

Paul Morris

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 the company.

Indicate from where the assets are expected to arrive?

DB Group: Same Booking Center (indicate account number):

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

Other Institution (Indicate name & location): JPMorgan, NYC

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

What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: Roughly 10 inflows

and 10 outflows per month ranging from \$1,000 to \$10,000.

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this

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Jeffrey

Epstein

Southern

Financial

LLC

Southern
Trust is the
sole
3
Southern
Trust
Company,
Inc.
100
member of
Southern
Financial
and Jeffrey
Epstein is
the sole
shareholder
of Southern
Trust;
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
50,000
100,000
Yes
No
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)
Sole
shareholder
of Southern
Trust;
[https://-
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wem1JLFLXWmtNR0po&autoMapValues=1\[7/10/2019 11:18:17 AM\]](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

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Parties

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Jeffrey

Epstein

Southern

Trust

Company,

Inc.
Account
Holder
PIC
Owner
Settlor of
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Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
50,000
100,000
Yes
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Currency
Currency
USD
USD
Acct. Number (if available):
Significant
Shareholder
($\geq 25\%$)NonPIC
entity
(indicate
ownership %)
Legal
Representative
Grantor/SettlorFounding
Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)
Sole
shareholder
of Southern

Trust;

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wem1JLFlXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM]

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Jeffrey

Epstein

Southern

Trust

Company,

Inc.
Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
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POA
Financial
Intermediary
(FIM)
50,000
150,000
Yes
No
Currency
Currency
USD
USD
Acct. Number (if available):
Significant
Shareholder
($\geq 25\%$)NonPIC
entity
(indicate
ownership %)
Legal
Representative
Grantor/SettlorFounding
Donor
Other
(please
describe
other roles
and/or
indicate
relationship
between
parties)
Sole
shareholder
of Southern

Trust;

https://-

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KYC Print

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

Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:

Country of Residence:

Address of primary residence:

Profession/Occupation:

Current Employer:

Address of employer:

Jeffrey Epstein - 00000483289

USVI

Litte Saint James Saint Thomas 00802 US Virgin Islands

Self Empolyed

Southern Financial LLC

6100 Red Hook Quarter B3 St. Thomas USVI 00802

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

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

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

To the best of your knowledge, is the individual related to an employee of the DB group?(if

Family or Friendship, describe)

To the best of your knowledge, is the individual party to a non-banking relationship with

Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or

services)?(if Yes,describe)

Yes

Yes

Family

Yes

No

No

Friendship

No

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

090-44-3348

President

If applicable, indicate which bank officers have met the person: Indicate where and when the client meeting(s) took place:

Bank Officer Name(s)

Bank Office:

Paul Morris

Client Private

Domicile:

Client Place of

Business:

Other Location (specify):

Date:

4/3/2013

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

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

Nature of the Individual's Business:

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Private investments

Business Owner

Salary/Earnings

Investment

Inheritance/Gifts

Other:

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

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

activities, important business partners.) Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980.

In 1982,

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

1996, Epstein

changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous

except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms

Estimated Annual Income(\$):

Estimated Net Worth(\$):

10,000,000.00

\$100 MM - 500 MM

Other Known Financial Institutions:

Estimated amount of investable assets(\$):

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

\$50 MM - 100 MM

10,000.00

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wem1JLFlXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM]

KYC Print

Institution:

Institution:

Institution:

JPMorgan

Country:

Country:

Country:

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

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):

US Virgin Islands

Southern Financial LLC - 00000483882

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

6100 Red Hook Quarter B3 St Thomas 00802 US Virgin Islands U.S. TIN/EIN: 66-0799192

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.:

Southern Trust Company Inc is the sole member of Southern Financial LLC.

Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc

Please indicate how ownership of the legal entity is reflected: Southern Trust Company Inc is the sole member of Southern Financial LLC. Jeffrey Epstein is the

sole shareholder of Southern Trust Company Inc

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): Southern Trust Company Inc is the sole member

of Southern Financial LLC. Jeffrey Epstein is the sole shareholder of

Southern Trust Company Inc

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:

Yes

No

This business is funded by Jeffrey Epstein's wealth. This company was formed to hold Mr.

Epstein's personal wealth and invest in different ventures. This company invests in real estate, equities, commodities, etc and gets its revenue from the gains it makes in these investments. It is

a company formed to invest the assets of Mr. Epstein

US Virgin Islands

3

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 initial funding in February 2013 was \$1,000 from the sole shareholder of the sole managing member (Jeffrey Epstein).

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

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

Estimated investable assets (\$):

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

Other Known Financial Institutions:

[https://-](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

[dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1\[7/10/2019 11:18:17 AM\]](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

2,000,000.00

1,500,000.00

<\$1 MM

300,000.00

2/25/2013

Private Investment

Philanthropic/Charitable

Commercial

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

20,000,000.00

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):

US Virgin Islands

Southern Financial LLC - 00000483882

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

6100 Red Hook Quarter B3 St Thomas 00802 US Virgin Islands U.S. TIN/EIN: 66-0799192

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.:

Southern Trust Company Inc is the sole member of Southern Financial LLC.

Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc

Please indicate how ownership of the legal entity is reflected: Southern

Trust Company Inc is the sole member of Southern Financial LLC. Jeffrey

Epstein is the

sole shareholder of Southern Trust Company Inc

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): Southern Trust Company Inc is the sole member

of Southern Financial LLC. Jeffrey Epstein is the sole shareholder of

Southern Trust Company Inc

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:

Yes

No

This business is funded by Jeffrey Epstein's wealth. This company was formed to hold Mr.

Epstein's personal wealth and invest in different ventures. This company invests in real estate, equities, commodities, etc and gets its revenue from the gains it makes in these investments. It is

a company formed to invest the assets of Mr. Epstein

US Virgin Islands

3

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 initial funding in February 2013 was \$1,000 from the sole shareholder of the sole managing member (Jeffrey Epstein).

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

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

Estimated investable assets (\$):

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

Other Known Financial Institutions:

Institution:

JPMorgan

Institution:

Institution:

2,000,000.00

1,500,000.00

<\$1 MM

300,000.00

2/25/2013

Private Investment

Philanthropic/Charitable

Commercial

Country:

Country:

Country:

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

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

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USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

1,000,000.00

KYC Print

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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):

US Virgin Islands

Southern Trust Company, Inc. - 00000483883

Foundation/Association

Partnership

Trust

Company

Estate

Purpose of Entity:

Purpose of Entity

Other (specify):

Date of incorporation / registration:

Volcker Flag:

6100 Red Hook Quarter B3 St Thomas 00802 US Virgin Islands U.S. TIN/EIN: 66-0779861

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.:

Please indicate how ownership of the legal entity is reflected: Jeffrey Epstein is sole managing member

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 is sole managing member

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:

Yes

No

Consulting Services relying on Financial and Biomedical algorithms. Southern Trust is 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 clients assets

US Virgin Islands

4

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):

Consult and invest client funds and gain revenue based on fees and returns

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

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

Estimated investable assets (\$):

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

Other Known Financial Institutions:

Institution:

JPMorgan

Institution:

Institution:

2,000,000.00

1,500,000.00

\$2 MM - 5 MM

300,000.00

11/18/2011

Private Investment

Philanthropic/Charitable

Commercial

Country:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

2,000,000.00

[https://-](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFlXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

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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
DB Employee
DB Managed PIC
Offshore
Moderate
Risk
High Risk
(Compliance Signature)
DB is Trustee/Co-Trustee
4. Attachments
A. Type of Photo ID Provided
Drivers License
Passport
B. Checklist of names (individuals and/or entities) that were submitted for
database searches is attached
C. Please indicate the results of the database searches performed
RDC searches complete
PCR checks complete
OFAC checks complete
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)
Denial Orders checks complete
Martindale-Hubbell searched (Lawyers/Law Firms only)
Yes
National/State ID
No
Other
Bearer Shares
Yes
Yes
Yes
Yes
Yes
Yes
No
No
No
No
No
No
negative results found
Yes
negative results found
negative results found
negative results found

negative results found

negative results found

Please summarize any negative results from the database searches indicated above: JEFFREY EPSTEIN:

RDC Alert #1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris

PCR Alert #1/2 -- Not our client

All Cases Closed

SOUTHERN FINANCIAL LLC:

No negative media

No court cases

SOUTHERN TRUST INC:

No negative media

D.

Court Case -- Not our client.

FINANCIAL INFOMATICS INC:

No negative media

No court cases

J. Epstein & Co.

All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML Clearance attached

Court Cases have been closed

FINANCIAL TRUST & CO

RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been cleared by Compliance and is attached

Court Cases are closed

E. To the best of your knowledge, has the client ever been convicted of a criminal offense?

F.

To the best of your knowledge, has the customer ever been involved in any past litigation against

Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche

Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt.

(LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)

G. Does the client or related party have any financial or other association / interactions within countries

or regimes sanctioned by the Office of Foreign Assets Control (OFAC)?

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

Yes

Yes

No

No

Yes

Yes

Yes

Yes

Yes
No
No
No
No
No
No
Yes
Yes
No
No

[https://-](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1[7/10/2019 11:18:17 AM])

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KYC Print

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/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1>

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KYC Print

M. Case Comments

No records to display.

ONSHORE APPROVALS

Client Facing Professional (CFP):

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

Armen Brash

(Signature)

Armen Brash

8/20/2013

Paul Morris

Brian M. Biggar

(Signature)

Paul Morris

(Signature)

Brian M. Biggar

(Signature)

7/17/2013

7/18/2013

AML Compliance:

Janice Franklin

(Signature)

Janice Franklin

8/21/2013

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)

AML Compliance:

(Signature)

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

worldwide is committed to professionally serve the interests of its clients.

To do so, Client Facing 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

[https://-](https://-dbforcepb.my.salesforce.com/...RveE5qb3lNeTR5TXpWYSxhWjA1cjBYZlcwaXNvemJMcjR-wem1JLFLXWmtNR0po&autoMapValues=1)

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KYC Print

Managers, etc.

Deutsche Bank Americas New York

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