

Subject: RE: Epstein - negative media [C] [I]
From: Mayur Rathod <[REDACTED]>
Date: Thu, 15 Nov 2018 03:45:30 -0500
To: Daphne Cales <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>,
Richard Iarossi <[REDACTED]>,
Stewart Oldfield <[REDACTED]>,
Vijay-A Sawant <[REDACTED]>,
Vinita Advani <[REDACTED]>,
Alka Babu <[REDACTED]>

Classification: For internal use only

Hi Daphne,

Good Morning!!

2 KYCs with 6 GCIS were submitted yesterday with below document. Nothing is pending anymore.

1 KYC from above with 2 GCIS got approved as well J

Thanks & Regards

{cid:1__=C7BBF707DF9B04F18f9e8a93df9386909@db.com}

Mayur Rathod

KYC Case Representative
Deutsche CIB Centre Private Limited
Wealth Management

Floor 1, B1, DB Centre Mumbai
Nirlon Knowledge Park, Western Express Highway, Goregaon East, Mumbai
400063, India
Tel.: +[REDACTED]
Email: [REDACTED]

From: Daphne Cales
Sent: Wednesday, November 14, 2018 7:08 PM
To: Stewart Oldfield <[REDACTED]>; Vinita Advani <[REDACTED]>; Vijay-A Sawant <[REDACTED]>; Alka Babu <[REDACTED]>; Mayur Rathod <[REDACTED]>
Cc: Bradley Gillin <[REDACTED]>; Richard Iarossi <[REDACTED]>
Subject: RE: Epstein - negative media [C] [I]

Classification: For internal use only

Thank you Stewart.

@Vinita / Vijay: I believe there are several KYCs that can be submitted with the email attached. Please advise ASAP if there is anything missing. Thank you.

Kind regards,
Daphne Cales

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Daphne Cales
Director | Banking Services & Branch Manager

Deutsche Bank Trust Company Americas

WM Americas
345 Park Avenue, 10154-0004 New York, NY, USA

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

{<https://brandportal.intranet.db.com/img/modules/claim.gif>}

From: Stewart Oldfield
Sent: Wednesday, November 14, 2018 8:19 AM
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

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

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: 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

{<https://brandportal.intranet.db.com/img/modules/logo.gif>}

Andrew Gallivan

Deutsche Bank Trust Company Americas
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Email [REDACTED]

{https://brandportal.intranet.db.com/img/modules/positive_impact_ENG.gif}

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

EFTA01432130

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 10155
[REDACTED]

[REDACTED]

Securities offered through Deutsche Bank Securities Inc.

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

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

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

{cid:image003.png@01D45FC9.226B9C90}

Stewart Oldfield, CFA, CAIA
Director

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

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.