

KYC Print

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DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : ██████████

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

1. Relationship Details

Relationship Name:

Relationship Manager:

SOUTHERN FINANCIAL RELATIONSHIP:00000483290 Booking Center:

Paul Morris



New PWM Relationship

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 (President of Gratitude America) is a current client of the bank



Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)



1



2

Account Name / Number

Gratitude America, Ltd

Gratitude America, Ltd

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)

2/18/2015

2/18/2015

Darren Indyke

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



No



Existing PWM Relationship

New York

Status : 6. Approved



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One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:

Account Manager:

Gratitude America, Ltd

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 account to hold funds and earn interest

Indicate from where the assets are expected to arrive?

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

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)?: Roughly 1-3 inflows and outflows per month ranging from \$10,000 to \$100,000

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?

100000

100000

Currency

Currency

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 

3 

Darren Indyke 

Jeffrey Epstein 

Gratitude America 







Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Significant
Shareholder
($\geq 25\%$)
Non-PIC
entity
(indicate
ownership
%)
USD

USD

Acct. Number (if available):

Other (please
describe other roles
and/or indicate
relationship between
parties)

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2. Account Ownership Summary

Account Name:

Account Manager:

Gratitude America, Ltd

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 deal with the day-to-day running of the foundation

Indicate from where the assets are expected to arrive?

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

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)?: Roughly 10-20 inflows and outflows per month ranging from \$10,000 to \$100,000

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?

100000

100000

Currency

Currency

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 

3 

Darren Indyke 

Jeffrey Epstein 

Gratitude America 







Account
Holder
PIC
Owner
Settlor of
Trust /
Founder of
Foundation
Ultimate
Beneficial
Owner
Signatory
or Full
POA
Limited
POA
Financial
Intermediary
(FIM)
Significant
Shareholder
(>=25%)
Non-PIC
entity
(indicate
ownership
%)
USD

USD

Acct. Number (if available):

Other (please
describe other roles
and/or indicate
relationship between
parties)

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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 - [REDACTED]

USVI

Litte Saint James Saint Thomas 00802 US Virgin Islands

Self Empolyed

Southern Financial LLC

6100 Red Hook Quarter B3 St. Thomas USVI 00802

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)

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

Bank Officer Name(s)

Paul Morris



Yes



Family



Yes



No



Friendship



No

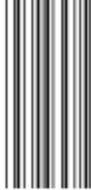
Indicate where and when the client meeting(s) took place:

Bank Office:



Client Private

Domicile:



Client Place
of Business:



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:

Summarize Source of Wealth:

Private investments



Other Location (specify):

Date:

2/4/2015



None

Tax ID / SSN:

Position/Title/Rank:



President

Date of Birth:

Country of Citizenship:



USA

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

(\$):

10,000,000.00

Estimated Net Worth(\$): \$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

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Institution: DB

Country:

Institution:

Institution:

Country:

Country:

USA

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

330,000,000.00

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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 - [REDACTED]

USA
[REDACTED]

Lawyer

Southern Financial LLC

575 Lexington Avenue, 4th Fl Livingston NY USA 10022

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)

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

Bank Officer Name(s)



Yes



Family



Yes



No



Friendship



No

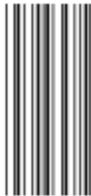
Indicate where and when the client meeting(s) took place:

Bank Office:

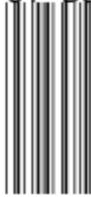


Client Private

Domicile:



Client Place
of Business:



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:

Summarize Source of Wealth:

Other Location (specify):

Date:



None

Tax ID / SSN:

Position/Title/Rank:

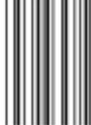


Date of Birth:

Country of Citizenship:



USA



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:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

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Institution:

Institution:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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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:

Gratitude America - 00000499760



Foundation/Association



Company



Estate Partnership

Trust



Type of Entity Other

(specify):

Country of

incorporation/registration:

Address (city, street, post code):

USVI

Purpose of Entity:



Purpose of Entity

Other (specify):

Date of

incorporation /

registration:

6100 Red Hook Quarter, B3 St. Thomas 00802 USVI

U.S. TIN/EIN:

4/25/2012

Private Investment

Philanthropic/Charitable

Commercial

66-0789697

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.:

501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary

Please indicate how ownership of the legal entity is reflected: 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary



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): 501(c)3 foundation.

Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary

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  No 

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Countries where business is transacted:

Number of employees:

USA, USVI

3

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

Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):

The foundation is to be funded by 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:

Institution:

Institution:

The foundation has not yet started distributing funds and is still determining what

endeavors they will support. They hope to support a broad range of efforts including,

but not limited to, education, science, research, etc.

\$2 MM - 5 MM

200,000.00

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l PART B

Relationship Name

Booking Center

SOUTHERN FINANCIAL RELATIONSHIP



NY



DB Employee



NY/Offshore



Offshore



DB Managed PIC

Risk



Moderate



High Risk Yoonsun Chung
(Compliance Signature)



DB is Trustee/Co-Trustee

4. Attachments

A. Type of Photo ID Provided

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)

No negative media

No court cases

D.

DARREN INDYKE:

Negative media mentions his name as an owner of a building. The negative media is not about him individually but about the others mentioned.

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

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

criminal offense?   No

Yes
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?

I. Corporate Documentation Attached (Legal Entities Only)

 Drivers License Passport National/State ID Other
 No

Yes

  Yes No  negative results found
  Yes No  negative results found
  Yes No  negative results found
  Yes No  negative results found
  Yes No  negative results found
  Yes No  negative results found

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

GRATITUDE AMERICA:

  Yes No 
  Yes No 

Yes No
Yes No
Yes No
Yes No

Bearer Shares

No

Yes

No

Yes

No

Yes

Yes No Not Applicable

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J. Undisclosed Principal Form Complete (Intermediaries Only)



Yes No 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:

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M. Case Comments

No records to display.

ONSHORE APPROVALS

Client Facing Professional (CFP): Paul Morris

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)

Kimberly Hart

(Signature)

Paul Morris

(Signature)

Kimberly Hart

(Signature)

2/24/2015

2/26/2015

AML Compliance:

G. Hill o/b/o M. Crawford

Yoonsun Chung

(Signature)

G. Hill o/b/o M. Crawford

Yoonsun Chung

LATAM/INTERNATIONAL APPROVALS

Client Facing Professional (CFP):

Account Manager:

Global Market Team Head

(GMTH)/Sub-Market Team Head

(SMTH):

AML Business Risk:

(Signature)

(Signature)

(Signature)

(Signature)

2/27/2015

2/27/2015

AML Compliance:

(Signature)

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: Deutsche Bank Private Wealth

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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

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