

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: Bradley Gillin <[REDACTED]>
Date: Mon, 24 Sep 2018 11:02:42 -0400
To: Vijay-A Sawant <[REDACTED]>, Stewart Oldfield <[REDACTED]>
Cc: Mayur Rathod <[REDACTED]>, Richard Iarossi <[REDACTED]>

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

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

Bradley Gillin
Vice President
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl
New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Vijay-A Sawant
Sent: Monday, September 24, 2018 10:28 AM

EFTA01435475

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.

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. [REDACTED]
Mobile + [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
Tel. [REDACTED]
Mobile + [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 risked 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

Tel. [REDACTED]

Mobile + [REDACTED]

[REDACTED]