

DB PWM GLOBAL KYC/NCA: PART A

KYC Case # : 01977698

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:

Stewart Oldfield

New PWM Relationship

Relationship to PWM:

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

profile: \*\*\* 2018 Periodic Review \*\*\*

填 Client Referral

How Was the Client(s)

Introduced? How long

has the RM personally

known the client?

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 reached out to Stew Oldfield on 3/7/17 to have a new acct opened under this

relationship..

Last Approved KYC # - [REDACTED] - [REDACTED]; Butterfly Trust - 1804531; Neptune, LLC - 1790739.

Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?

Yes

(If Yes, describe):

List all existing and new accounts involved in this relationship

Legal Entity

Account(s)

1

2 填

3 填

Account Name / Number

[REDACTED] & Karyna Shuliak- [REDACTED]

Butterfly Trust - [REDACTED] - MMBA-[REDACTED]

Neptune LLC - [REDACTED] - DDA-[REDACTED]

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)  
12/13/2013  
1/24/2014  
10/18/2013

填 No  
填 Existing PWM Relationship  
New York

Status : 6. Approved

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

One sheet must be established for each account to be opened

## 2. Account Ownership Summary

Account Name:

Account Manager:

██████████ & Karyna Shuliak- ██████████ - DDA

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a checking account for Individuals. They use the funds for daily expenses.

Indicate from where the assets are expected to arrive?

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

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)?: 2-6/month; \$1 - \$2000

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?

24,282.99

24,282.99

Yes填 No

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

填

填

Karyna Shuliak 填

██████████

██████████

填  
填 填  
填 填  
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  
%)  
Other (please  
describe other  
roles and/or  
indicate  
relationship  
between parties)  
Currency  
Currency  
USD  
USD  
Acct. Number (if  
available):  
██████████

## 2. Account Ownership Summary

Account Name:

Account Manager:

Butterfly Trust - [REDACTED] - MMBA

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a money market deposit account to pay all expenses/ disbursements related to the trust. Expenses are taxes, trust fee, etc

Indicate from where the assets are expected to arrive?

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

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)?: 0-2/month; \$0 - \$1000

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?

704,736.63

704,736.63

Yes填 No

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 填 填

2

3

4

5

6

7

8

填

Butterfly Trust 填

Harry Beller

Erika Kellerhals

Jeffrey E. Epstein

████████████████████

████████████████

██████████

██████████

████████████████████

████████████████████

████████████████████

填

填

填

填

填

填

填

Trustee;;

Trustee;;

Grantor of

Butterfly Trust;

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

%)

Other (please

describe other  
roles and/or  
indicate  
relationship  
between parties)  
Currency  
Currency  
USD  
USD  
Acct. Number (if  
available):  
[REDACTED]

9

[Redacted]

10

11

12

13

14 填

15

16 填

[Redacted]

Darren K. Indyke

Karyna Shuliak

Richard D. [Redacted]

[Redacted]

填  
填  
填  
填  
填  
填  
填

2. Account Ownership Summary

Account Name:

Account Manager:

Neptune LLC - [REDACTED] - DDA

Stewart Oldfield

What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a checking account to pay for all expenses (i.e. electric, maintenance, cable, etc.) on Epstein's NYC home.

Indicate from where the assets are expected to arrive?

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

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)?: 15-20/month; \$10 - \$10000

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?

207,814.91

207,814.91

Yes填 No

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

4 填 填

5

填

Jeffrey E. Epstein

Harry Beller  
Darren K. Indyke  
Neptune, LLC 填  
Richard D. Kahn  
Manager of  
Neptune LLC;  
填 填  
填  
填  
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  
)  
Other (please  
describe other  
roles and/or  
indicate  
relationship  
between parties)  
Sole Member of  
Neptune LLC;  
Currency  
Currency  
USD  
USD  
Acct. Number (if  
available):  
██████████





Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Homemaker. Solely relies on income from her wife who is a Interior Designer.

Primary Country of source of wealth/source of Funds? United States

Primary industry of source of Wealth/Source of

Funds?

Summarize Source of Wealth:

Other

Business Owner 填 Salary/Earnings

填 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

Investment

Inheritance/Gifts



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:

Karyna Shuliak - [REDACTED]

United States

[REDACTED] New York NY 10065 United States

[REDACTED]

[REDACTED]

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:

575 Lexington Ave 14th Floor New York NY United States 10022

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

[REDACTED]

[REDACTED]

Yes 填 No

[REDACTED]

[REDACTED]

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

Bank Officer Name(s)

Stewart Oldfield

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

填

Other Location (specify): Date:

6/23/2017

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:

Interior Design

Primary Country of source of wealth/source of Funds? United States

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

Other

Business Owner 填 Salary/Earnings

Other:

Investment

Inheritance/Gifts

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.) Karyna went to school for interior design and now works as an interior decorator for JSC Interiors LLC, a currently client of DB (kyc case 01305519). Her annual income is approximately \$150k with salary, bonus, and commissions.

Estimated Annual Income

(\$):

150,000.00

Estimated Net Worth(\$): <\$1 MM

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

<\$1 MM

2,000.00

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

Please indicate the family situation of the individual (marital status, other family members, etc.): Married to [REDACTED]

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 E. Epstein - 00000483289

Virgin Islands, U.S.

Little Saint James Saint Thomas 00802 Virgin Islands, U.S.

Self Employed

Southern Trust Company Inc

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:

6100 Red Hook Quarter B3 St. Thomas Virgin Islands, U.S. 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)

Connection with Prince Andrew and Bill Clinton

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

填 Yes

Family

No

Friendship 填 None

Yes 填 No

1/20/1953

United States

Yes 填 No

██████████

President

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

Bank Officer Name(s)

Stewart Oldfield

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

Bank Office:

填

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

6/28/2017

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:

Private investments

Primary Country of source of wealth/source of Funds? United States

Primary industry of source of Wealth/Source of Funds?

Summarize Source of Wealth:

High Risk Financial Institutions

填 Business Owner

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

Salary/Earnings 填 Investment

Inheritance/Gifts

profitability? Indicate type of business, countries of major activities, important business partners.) Jeffrey Edward Epstein (born January 20, 1953) is an American financier and registered sex offender in the United States. He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. He lives in the US Virgin Islands. Epstein taught calculus and physics at the Dalton School in Manhattan from 1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns.

In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-networth clients on tax strategies. Proving successful in his financial career, in 1980 Epstein became a partner at Bear Stearns.

In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than \$1 billion in net worth. In 1987, Leslie Wexner, founder and chairman of Ohio-based The Limited chain of women's clothing stores, became a well-known client. Wexner acquired Abercrombie & Fitch the following year.

In 1992 he converted a private school on the Upper East Side into an enormous residence. Epstein later bought that property, in the wealthiest part of Manhattan. In 1996, Epstein changed the name of his firm to the Financial Trust Company and, for tax advantages, based it on the island of St. Thomas in the U.S. Virgin Islands.

In 2003, Epstein bid to acquire New York magazine. Other bidders were advertising executive Donny Deutsch, investor Nelson Peltz, media mogul and publisher Mortimer Zuckerman, who had the New York Daily News, and film producer Harvey Weinstein. They were ultimately outbid by Bruce Wasserstein, a longtime Wall Street investor, who paid \$55 million.

In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and Zuckerman were equal partners in the venture. Roshan, as its editor-in-chief, retained a small ownership stake.

Presently, Mr. Epstein founded Southern Trust Company Inc, 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 client's assets.

Estimated Annual Income

(\$):

Estimated Net Worth(\$):

10,000,000.00

\$500 MM +

Other Known Financial Institutions:

Institution:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

\$50 MM - 100 MM

2,300,000.00

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

Harry Beller - [REDACTED]

United States

[REDACTED] United States

Accountant

HBRK Associates, Inc

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:

575 Lexington Avenue, 4th Floor Monsey NY United States 10022

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

[REDACTED]  
United States

Yes 填 No

[REDACTED]

Accountant

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

Erika Kellerhals - [REDACTED]

Virgin Islands, U.S.

[REDACTED] St. Thomas 00802

Virgin Islands, U.S.

Attorney

Kellerhals Ferguson Kroblin PLLC

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:

[REDACTED] St. Thomas Virgin Islands, U.S. 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) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

[REDACTED]  
United States

Yes 填 No

[REDACTED]  
Attorney

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

██████████ - ██████████

United States

██████████ New York NY 10065 United

States

N/A

N/A

N/A

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

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:

██████████  
████████████████████

Yes 填 No

██████████

N/A

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

██████████ - ██████████

United States

██████████ New York NY 10065 United

States

N/A

N/A

N/A

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

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:

██████████

██████████

Yes 填 No

██████████

N/A

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

[REDACTED]

[REDACTED] - [REDACTED]

[REDACTED]

[REDACTED] 00186 Italy

N/A

N/A

N/A

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

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:

[REDACTED]

[REDACTED]

Yes 填 No

[REDACTED]

N/A

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

[REDACTED] - [REDACTED]

[REDACTED]

[REDACTED] N/A [REDACTED]

[REDACTED]

N/A

N/A

N/A

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

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:

[REDACTED]

[REDACTED]

Yes 填 No

[REDACTED]

N/A

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

████████████████████ - ████████████████████

United States

████████████████████████████████████████████████████████████████████████████████

United States

N/A

N/A

N/A

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

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:

████████████████████

United States

Yes 填 No

████████████████████

N/A

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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



Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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



Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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 K. Indyke - [REDACTED]

United States

[REDACTED] United States

Accountant

Southern Financial LLC

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:

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

[REDACTED]  
United States

Yes 填 No

[REDACTED]  
Accountant

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

Bank Officer Name(s)

Stewart Oldfield

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

Bank Office:

填

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

12/12/2016

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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:

Richard D. Kahn - [REDACTED]

United States

[REDACTED] United States

Accountant

HBRK Associates, Inc

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:

575 Lexington Ave, 4th Fl New York NY United States 10022

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) N/A

To the best of your knowledge, is the individual related to an employee of the DB

group?(if Family or Friendship, describe ) N/A

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 ) N/A

Yes 填 No

Yes 填 No

Family

Friendship 填 None

Yes 填 No

[REDACTED] United States

Yes 填 No

[REDACTED]

Accountant

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

Bank Officer Name(s)

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

Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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



Bank Office:

Client

Private

Domicile:

Client Place

of Business:

Other Location (specify): Date:

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:

Business Owner

Other:

Salary/Earnings

Investment

Inheritance/Gifts

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:

Institution:

Institution:

Estimated amount of investable assets(\$):

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

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

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):

Virgin Islands, U.S.

Butterfly Trust - [REDACTED]

Foundation/Association 塏 Trust Estate

Partnership

Purpose of Entity

Other (specify):

Date of

incorporation /

registration:

Identified on Customer Profile

6100 Red Hook Quarter B3 St, Thomas 00802 Virgin Islands, U.S.

Volcker Flag:

U.S. TIN/EIN:

[REDACTED]

Company

Private Investment

Purpose of Entity:

Philanthropic/Charitable

Commercial

No

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.: This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals. The beneficiaries are:

Darren Indyke

Karyna Shuliak

Richard Kahn

New York, NY 10021

[REDACTED]

Attached are the original trust agreement and the addition/deletion of beneficiary instrument to support this change. According to the original trust agreement, the trustees have the right during the lifetime of the Grantor to delete or add beneficiaries under Article 3 of the agreement.

Please indicate how ownership of the legal entity is reflected: Addition of Beneficiaries attached

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): This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The the beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals. The beneficiaries are:

[REDACTED]  
Darren Indyke  
Karyna Shuliak

[REDACTED]

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)?:

N/A

Yes

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:

Trust account

Countries where business is transacted:

Number of employees:

Virgin Islands, U.S.

N/A

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

No填

Primary Country of source of wealth/source of Funds?

Primary industry of source of Wealth/Source of Funds?

United States

High Risk Financial Institutions

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

Trust account with Jeffrey Epstein as Grantor. Initial \$100 given to the account to fund. The funds for this trust account come from investments made by Jeffrey Epstein. His wealth profile is filled out.

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:

4,500,000.00

4,500,000.00

\$5 MM - 10 MM

700,000.00

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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):

United States

Neptune, LLC - [REDACTED]

Foundation/Association

Estate

Partnership

Purpose of Entity

Other (specify):

Date of

incorporation / registration:

Identified on Customer Profile

6100 Red Hook, Quarter B3 St, Thomas 00802 Virgin

Islands, U.S.

Volcker Flag:

U.S. TIN/EIN:

[REDACTED]

Trust 壘 Company

壘 Private Investment

Purpose of Entity:

Philanthropic/Charitable

Commercial

No

[REDACTED]

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.: Single member LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Harry Beller, Darren Indyke. Richard Kahn is the manager.

Please indicate how ownership of the legal entity is reflected: Operating Agreement

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): Single member LLC.

Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Harry Beller, and Darren Indyke. Richard Kahn is the manager.

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)?:

N/A

Yes

Describe Nature of Entity's Primary Business and Investment Activities

No 壘

Nature of the business:

This LLC was formed to hold the funds necessary to cover the costs and taxes associated with running Jeffrey Epstein's NYC home

Countries where business is transacted:

Number of employees:

United States

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?

United States

High Risk Financial Institutions

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

This LLC is funded by contributions made 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:

1,000,000.00

1,000,000.00

<\$1 MM

Country:

Est. Assets Under Mgt:

Country:

Country:

Est. Assets Under Mgt:

Est. Assets Under Mgt:

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

Relationship Name

Risk Rating Comments:

Booking Center

SOUTHERN FINANCIAL RELATIONSHIP

填 NY

NY/Offshore

Offshore

Risk

Moderate 填 High Risk

(Compliance Signature)

DB Employee

DB Managed PIC

DB is Trustee/Co-Trustee

4. Attachments

填 Drivers License 填 Passport

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)

填 Yes

No

National/State ID

Other :

Darren Indyke & Richard Kahn GCIS # 486405 & [REDACTED]

KYC # 01804531

Bearer Shares

填 Yes

No negative results found 填 Yes

No negative results found 填 Yes

No negative results found

No

No

Yes 填 No

No negative results found 填 Yes

No negative results found

No negative results found

D. Please summarize any negative results from the database searches indicated above: Harry Beller:

- No negative media
- Harry Beller is the plaintiff in the court case, also it has been disposed.

[REDACTED]:  
- No negative media  
- No court cases

Butterfly Trust:  
- No negative media  
- No court cases

[REDACTED]:  
- No negative media  
- No court cases

Jeffrey Edward Epstein:  
- Negative media relates to the sex offence in the past which are already cleared. (KYC # - 01790655)  
- Court cases relates to Jeffrey's sex offence in the past which is already cleared, another is a recent ongoing civil lawsuit pertaining to fraud, but part of normal business operations for this client. And in one of the case he's neither defendant nor plaintiff. He's just named as a respondent and the case is immaterial in nature.  
- Criminal Filings relates to sex offence which is already cleared in the past  
- RDC alert found - Sex offences in the past which has been cleared - Clearance attached.

[REDACTED]:  
- No negative media  
- No court cases

Darren Indyke:

No  
Yes 填 No  
Yes 填 No

- Negative news in Google relates to Jeffrey Epstein's Foundation and are not material in nature.

- Court case mentioned in Google search relates to Jeffrey Epstein's sex offence in the past which has been cleared already. Darren is just an attorney for Jeffrey in the case.

- Fircosoft alert has been cleared by AML Compliance. Clearance attached.  
Richard Kahn:

- No negative media

- Court case was dismissed and he was not barred from NYSE Arca and was cleared in the previous KYCs. Attached clearances

- RDC alert found - realates to violation of NYSE Arca Equities Rule - Clearance attached

[REDACTED]:

- No negative media

- No court cases

Erika Kellerhals:

- No negative media

- No court cases

[REDACTED]:

- No negative media

- Court case is immaterial since she is not a defendant nor plaintiff. Her name is just mentioned as miscellaneous. Case is closed as well.

Neptune LLC:

- No negative media

- No court cases

[REDACTED]:

- No negative media

- No court cases

[REDACTED]:

- No negative media

- No court cases

[REDACTED]:

- No negative media

- No court cases

[REDACTED]:

- No negative media

- No court cases

Karyna Shuliak:

- No negative media

- No court cases

JSC Interiors LLC:

- No negative media

- No court cases

Southern Trust Company Inc:

- No negative media

- No court cases

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.

H.

Does the client or related party have any financial or other association/ interactions  
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)?

填 Yes

No

Yes 填 No

Yes 填 No

Yes 填 No

within high risk countries?

I. Corporate Documentation Attached (Legal Entities Only)

J. Undisclosed Principal Form Complete (Intermediaries Only)

填 Yes

Yes

No

Not Applicable

No 填 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 填 No

M. Case Comments

Created By

Date

Comments

Kshitij Golani

9/25/118 10:04 AM

This KYC serves as a high risk update for the below listed clients (together "acountholders") –

1. [REDACTED] & Karyna Shuliak
2. Butterfly Trust
3. Neptune LLC

Below are the reasons why we are comfortable with approving this KYC:

- Information and supporting documents required by our AML Policy were provided and

reviewed; and as a result, we have an understanding of the structure of the acountholders,

their purpose, the purpose of the accounts and expected transaction activity.

- There are a few risk factors associated with the acountholders –

SOW: The UBO (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which

manages client's assets. SOW verification was obtained. In addition, Karyna Shuliak is an

employee at JSC Interiors. We have her pay stubs under KYC – [REDACTED].

Negative Media & PEP: There is some negative media against Mr Epstein and he is also

maintains a close relationship with Bill Clinton and Prince Andrew. Please see risk calculator for

more information. Appropriate approval was obtained.

- Our review did not identify any red flags and thus there was no need to escalate this case

further.

- We performed due diligence searches on all parties and did not find the names searched to be

on any sanctions lists.

Mayur Rathod

9/3/118 3:17 AM No material changes confirmation "email" attached in the case.

ONSHORE APPROVALS

Client Facing Professional (CFP): Stewart Oldfield

Office Director/Business Head:

Regional Office Director:

AML Business Risk:

(Signature)

Steven Mattus

(Signature)

Stewart Oldfield

(Signature)

Steven Mattus

(Signature)

9/5/2018

9/6/2018

AML Compliance:

Kshitij Golani

(Signature)

Kshitij Golani

9/25/2018

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)

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 Professionals<sup>1</sup>(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