

KYC Case # : **01977698**

Status : **6. Approved**

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

1. Relationship Details

Relationship Name:	SOUTHERN FINANCIAL RELATIONSHIP:00000483290	Booking Center:	New York
Relationship Manager:	Stewart Oldfield		
Relationship to PWM:	<input type="checkbox"/> New PWM Relationship		<input checked="" type="checkbox"/> Existing PWM Relationship
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile: *** 2018 Periodic Review ***		
How Was the Client(s) Introduced? How long has the RM personally known the client?	<input checked="" type="checkbox"/> Client Referral	<input type="checkbox"/> RM Prospect	<input type="checkbox"/> Intermediary/FIM
	<input type="checkbox"/> 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]; 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?	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No
	(If Yes, describe):		
List all existing and new accounts involved in this relationship			
	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	<input type="checkbox"/>	[REDACTED] & [REDACTED]	12/13/2013
2	<input checked="" type="checkbox"/>	Butterfly Trust - 44130552 - MMBA-44130552	1/24/2014
3	<input checked="" type="checkbox"/>	Neptune LLC - 42953424 - DDA-42953424	10/18/2013
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	[REDACTED]		Preferred method of contact (indicate phone no., fax no., e-mail address, etc.): [REDACTED]

One sheet must be established for each account to be opened

2. Account Ownership Summary

Account Name:	██████████ & ██████████ ██████████	Acct. Number (if available):	██████████
Account Manager:	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?			
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> 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?	24,282.99	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	24,282.99	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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	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 %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	██████████	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	██████████	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2. Account Ownership Summary

Account Name:	Butterfly Trust - 44130552 - MMBA	Acct. Number (if available):	44130552
Account Manager:	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?

- 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?	704,736.63	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	704,736.63	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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	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 %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Butterfly Trust	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;;
3	<input type="checkbox"/>	<input type="checkbox"/>	Erika Kellerhals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Trustee;;
4	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Grantor of Butterfly Trust;
5	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	Mary [REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

8	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10	<input type="checkbox"/>	<input type="checkbox"/>	Svetlana [REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12	<input type="checkbox"/>	<input type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14	<input type="checkbox"/>	<input checked="" type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15	<input type="checkbox"/>	<input type="checkbox"/>	Richard D. Kahn	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16	<input type="checkbox"/>	<input checked="" type="checkbox"/>	[REDACTED]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2. Account Ownership Summary

Account Name:	Neptune LLC - 42953424 - DDA	Acct. Number (if available):	42953424
Account Manager:	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?

- 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?	207,814.91	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	207,814.91	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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	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 %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sole Member of Neptune LLC;
2	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neptune, LLC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	Richard D. Kahn	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Manager of Neptune LLC;

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

3A. Individual Details (for all parties)					
Individual's Name:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]	Country of Citizenship:	[REDACTED]		
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	[REDACTED]	Tax ID / SSN:	[REDACTED]		
Current Employer:	N/A	Position/Title/Rank:	N/A		
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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?	Other
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input checked="" type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input checked="" type="checkbox"/> 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.) [REDACTED]	

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DB-SDNY-0000047

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&eid=5000e00001N...> 7/10/2019

EFTA_00018921

EFTA00168668

Estimated Annual Income(\$):		Estimated amount of investable assets(\$):	<\$1 MM
Estimated Net Worth(\$):	<\$1 MM	Amount of assets planned to invest with PWM(\$):	20,000.00
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	[REDACTED]	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	[REDACTED]		Tax ID / SSN:	[REDACTED]	
Current Employer:	[REDACTED]		Position/Title/Rank:	[REDACTED]	
Address of employer:	[REDACTED]				
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)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
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			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Stewart Oldfield	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		6/23/2017
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	[REDACTED]
Primary Country of source of wealth/source of Funds?	United States
Primary industry of source of Wealth/Source of Funds?	Other
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input checked="" type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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.) [REDACTED] [REDACTED] annual income is approximately \$150k with salary, bonus, and commissions.	

Estimated Annual Income(\$):	150,000.00	Estimated amount of investable assets(\$):	<\$1 MM		
Estimated Net Worth(\$):	<\$1 MM	Amount of assets planned to invest with PWM(\$):	2,000.00		
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Please indicate the family situation of the individual (marital status, other family members, etc.): Married to [REDACTED] [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:	Jeffrey E. Epstein - 00000483289		Date of Birth:	1/20/1953	
Country of Residence:	Virgin Islands, U.S.		Country of Citizenship:	United States	
Address of primary residence:	Little Saint [REDACTED] Saint Thomas 00802 Virgin Islands, U.S.		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Self Employed		Tax ID / SSN:	[REDACTED]	
Current Employer:	Southern Trust Company Inc		Position/Title/Rank:	President	
Address of employer:	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)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) Connection with Prince Andrew and Bill Clinton			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
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			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Stewart Oldfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		6/28/2017
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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?	High Risk Financial Institutions
Summarize Source of Wealth:	<input checked="" type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input checked="" type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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.) 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.	

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DB-SDNY-0000051

In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-net-worth 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(\$):	10,000,000.00	Estimated amount of investable assets(\$):	\$50 MM - 100 MM
Estimated Net Worth(\$):	\$500 MM +	Amount of assets planned to invest with PWM(\$):	2,300,000.00

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		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:	Harry Beller - [REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	HBRK Associates, Inc		Position/Title/Rank:	Accountant	
Address of employer:	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)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
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			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000053

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	Erika Kellerhals - [REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	Virgin Islands, U.S.		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Attorney		Tax ID / SSN:	[REDACTED]	
Current Employer:	Kellerhals Ferguson Kroblin PLLC		Position/Title/Rank:	Attorney	
Address of employer:	9100 Port of Sale Mall, Ste 15 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)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
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			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000055

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	United States		Country of Citizenship:	[REDACTED]	
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A		Tax ID / SSN:	[REDACTED]	
Current Employer:	N/A		Position/Title/Rank:	N/A	
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000057

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	United States			Country of Citizenship:	[REDACTED]
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A			Tax ID / SSN:	[REDACTED]
Current Employer:	N/A			Position/Title/Rank:	N/A
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000059

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]	Country of Citizenship:	[REDACTED]		
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A			Tax ID / SSN:	[REDACTED]
Current Employer:	N/A			Position/Title/Rank:	N/A
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000061

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]			Country of Citizenship:	[REDACTED]
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A			Tax ID / SSN:	[REDACTED]
Current Employer:	N/A			Position/Title/Rank:	N/A
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000063

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]	Country of Citizenship:	[REDACTED]		
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A	Tax ID / SSN:	[REDACTED]		
Current Employer:	N/A	Position/Title/Rank:	N/A		
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000065

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EFTA_00018939

EFTA00168686

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]			Country of Citizenship:	[REDACTED]
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A			Tax ID / SSN:	[REDACTED]
Current Employer:	N/A			Position/Title/Rank:	N/A
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000067

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EFTA_00018941

EFTA00168688

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]			Country of Citizenship:	[REDACTED]
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A			Tax ID / SSN:	[REDACTED]
Current Employer:	N/A			Position/Title/Rank:	N/A
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000069

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	Darren K. Indyke - [REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	Southern Financial LLC		Position/Title/Rank:	Accountant	
Address of employer:	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)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
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			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Stewart Oldfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		12/12/2016
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000071

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	Richard D. Kahn - [REDACTED]	Date of Birth:	[REDACTED]		
Country of Residence:	United States	Country of Citizenship:	United States		
Address of primary residence:	[REDACTED]	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Accountant	Tax ID / SSN:	[REDACTED]		
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:	Accountant		
Address of employer:	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)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
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		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> 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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000073

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	[REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	[REDACTED]	Country of Citizenship:	[REDACTED]		
Address of primary residence:	[REDACTED]			Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Profession/Occupation:	N/A	Tax ID / SSN:	[REDACTED]		
Current Employer:	N/A	Position/Title/Rank:	N/A		
Address of employer:	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)				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A				<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None	
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				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> 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 amount of investable assets(\$):

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DB-SDNY-0000075

Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	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:	Butterfly Trust - 00000486426		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Virgin Islands, U.S.	Date of incorporation / registration:	12/27/2006
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 Virgin Islands, U.S.	U.S. TIN/EIN:	26-6639711

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:

- [REDACTED]
- [REDACTED]
- Darren Indyke
- [REDACTED]
- [REDACTED]
- [REDACTED]
- Richard Kahn
- [REDACTED]
- Svetlana [REDACTED]
- [REDACTED]

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.(\$):	4,500,000.00	
Estimated net profit p.a. (\$):	4,500,000.00	
Estimated investable assets (\$):	\$5 MM - 10 MM	
Potential Amount to be invested with PWM (\$):	700,000.00	
Other Known Financial Institutions:		
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	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:	Neptune, LLC - 00000487264		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	United States	Date of incorporation / registration:	12/21/2011
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook, Quarter B3 St, Thomas 00802 Virgin Islands, U.S.	U.S. TIN/EIN:	45-4093384
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			
<input type="checkbox"/> 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)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
N/A			
Describe Nature of Entity's Primary Business and Investment Activities			
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:	United States		
Number of employees:	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?		United States			
Primary industry of source of Wealth/Source of Funds?		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.(\$):		1,000,000.00			
Estimated net profit p.a. (\$):		1,000,000.00			
Estimated investable assets (\$):		<\$1 MM			
Potential Amount to be invested with PWM (\$):					
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP				
Risk Rating Comments:					
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee		<input type="checkbox"/> Bearer Shares	

4. Attachments

A. Type of Photo ID Provided Drivers License Passport National/State ID Other : Darren Indyke & Richard Kahn GCIS # 486405 & [REDACTED] [REDACTED] KYC # [REDACTED]

B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached Yes No

C. Please indicate the results of the database searches performed

RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

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

- Butterfly Trust:
- No negative media
 - No court cases

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

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

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- 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

- ██████ ██████ ██████ :
- No negative media
 - No court cases

- Erika Kellerhals:
- No negative media
 - No court cases

- ████ ██████ :
- 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

- ████ ██████ :
- No negative media
 - No court cases

- ██████████████████ :
- No negative media
 - No court cases

- ████ ██████ ██████ :
- No negative media
 - No court cases

- ████ ██████ ██████ ██████ ██████ :
- No negative media
 - No court cases

- ██████████████████ :
- No negative media
 - No court cases

- ██████████████████ :
- 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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? <i>(If Yes, provide details below and contact Quality Mgt. (LatAm/Int?) or the Regulatory Control Group and notify Compliance immediately)</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
H.	Does the client or related party have any financial or other association/ interactions within high risk countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
I.	Corporate Documentation Attached (Legal Entities Only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable

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J. Undisclosed Principal Form Complete (Intermediaries Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the account structure unusually complex?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication this could be a prohibited business relationship?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are the bearer shares identified subject to acceptable controls?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

M. Case Comments

Created By	Date	Comments
Kshitij Golani	9/25/118 10:04 AM	<p>This KYC serves as a high risk update for the below listed clients (together "accontholders") –</p> <ol style="list-style-type: none"> 1. ██████████ & ██████████ 2. Butterfly Trust 3. Neptune LLC <p>Below are the reasons why we are comfortable with approving this KYC:</p> <ul style="list-style-type: none"> • 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 accountholders, their purpose, the purpose of the accounts and expected transaction activity. • There are a few risk factors associated with the accountholders – SOW: The UBO (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which manages client's assets. SOW verification was obtained. In addition, ██████████ is an employee at ██████████ We have her pay stubs under KYC - ██████████ <p>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.</p> <ul style="list-style-type: none"> • 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	(Signature) Stewart Oldfield	9/5/2018
Office Director/Business Head:	Steven Mattus	(Signature) Steven Mattus	9/6/2018
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Kshitij Golani	(Signature) Kshitij Golani	9/25/2018

LATAM/INTERNATIONAL APPROVALS

Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	

AML Compliance:		(Signature)	
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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 (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 
