

Structured Products Agreement and Approval Form

Please Complete All Sections

Account Number

N4G-023804

Account Name

SOUTHERN FINANCIAL LLC

Account Type

Individual Joint Trust Partnership Limited Liability Company Corporation

Other (specify)

NOTE: IRA and ERISA accounts are prohibited from purchasing Structured Products.

Account and Owner Information: Provide requested information for each beneficial account owner ("Client"). If more than one owner exists, the Structured Products Agreement and Approval Supplementary Form to this Agreement may be required.

Entry Name, or First, Middle, Last Name of Individual or Trustee or Executor

JEFFREY EPSTEIN

Address

6100 RED HOOK QUARTER B3, ST THOMAS

Country

US VIRGIN ISLANDS

Number of Dependents

-

Marital Status

SINGLE

Birthdate - MM/DD/YYYY

01/20/1953

Employer

SELF

Business Phone

Business Address

AS ABOVE

Type of Business

FINANCIAL INFOMATICS

Position

OWNER

Years Held

10+

Name(s) of person(s) other than account owner(s) authorized to place orders for the account

PAUL BARRITT ; DARRYN INDYKE

Client(s) Financial Information

Approximate Aggregate Annual Income of Account Owner(s) from All Sources

Sources of Income (Approximate)

Approximate Net Worth

Approximate Liquid Net Worth Excluding Principal Residence

Less than \$50,000

\$50,000 - \$99,999

\$100,000 - \$249,999

\$250,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$2,499,999

\$2,500,000 - \$4,999,999

\$5,000,000 and over

Salary/Bonus

Interest/Dividends

Other (specify):

%

100 %

%

%

%

%

Less than \$50,000

\$50,000 - \$99,999

\$100,000 - \$249,999

\$250,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$2,499,999

\$2,500,000 - \$4,999,999

\$5,000,000 and over

Less than \$50,000

\$50,000 - \$99,999

\$100,000 - \$249,999

\$250,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$2,499,999

\$2,500,000 - \$4,999,999

\$5,000,000 and over

WFL179078 SPAA DBSF 011017.003017

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Investment Experience of Account Owner(s)

	Year First Traded	Average # Trades Per Year	Average Size of Trades In \$	Types of Previous Option Experience
Options	1980	30		<input checked="" type="checkbox"/> Covered Call Writing
Equities	1980	50	1M	<input checked="" type="checkbox"/> Purchased Options
Fixed Income	1985	30	3M	<input checked="" type="checkbox"/> Option Spreads
Commodities and Futures	1990	20	5M	<input checked="" type="checkbox"/> Uncovered Put Writing
Structured Products	2000	20	3M	<input checked="" type="checkbox"/> Uncovered Call Writing
OTC Derivatives	1984	25	10M	None
Foreign Currency	1984	50	20M	
Alternative Investments (Hedge Funds, Private Equity)	1991	5	10M	

Investment Objectives for the Client Account

(Select up to two adjacent objectives):

Capital Preservation
 Income
 Growth
 Aggressive Growth

Representations Relating to Qualification of the Client

Check all that apply. At least one category must be checked.

I represent that Client qualifies as an "Accredited Investor" as defined in Regulation D under the Securities Act of 1933 because Client is:

- a natural person with individual income exceeding \$200,000 in each of the two most recent years or joint income with a spouse exceeding \$300,000 in each of those years and a reasonable expectation of the same income level in the current year;
- a natural person with individual net worth, or joint net worth with a spouse, over \$1,000,000, excluding primary residence;
- a trust with assets in excess of \$5,000,000, not formed for the specific purpose of acquiring the securities offered, whose purchases are directed by a sophisticated person;
- a revocable trust that may be amended or revoked at any time by the grantors and where all of the grantors are accredited investors;
- a charitable organization, corporation or partnership with assets exceeding \$5,000,000;
- a business in which all the equity owners are accredited investors;
- a bank, savings and loan association, registered broker or dealer, insurance company, registered investment company, business development company or licensed small business investment company;
- an employee benefit plan, within the meaning of ERISA, if a plan fiduciary that is a bank, insurance company or registered investment adviser makes the investment decisions, or if the plan has over \$5,000,000 in total assets or a self-directed plan with investment decisions made solely by accredited investors;
- a plan established and maintained by a state, its political subdivisions or any agency or instrumentality thereof, for the benefit of its employees with total assets in excess of \$5,000,000; or
- a director, executive officer or general partner of the issuer of the securities being offered.

Representations Relating to Qualification of the Client (Continued)

I represent that Client qualifies as a "Qualified Purchaser" as defined in the Investment Company Act of 1940, because Client is:
a natural person (including any person who holds a joint, community property, or other similar shared ownership interest in an issuer that is excepted under section 3(c)(7) with that person's qualified purchaser spouse) who owns not less than \$5,000,000 in investments;

any person, acting for its own account or the accounts of other qualified purchasers, who in the aggregate owns and invests on a discretionary basis, not less than \$25,000,000 in investments;

✓ a company that owns not less than \$5,000,000 in investments and that is owned directly or indirectly by or for 2 or more natural persons who are related as siblings or spouse (including former spouses), or direct lineal descendants by birth or adoption, spouses of such persons, the estates of such persons, or foundations, charitable organizations, or trusts established by or for the benefit of such persons; or

a trust that is not covered by any definition above, and that was not formed for the specific purpose of acquiring the securities offered, as to which the trustee or other person authorized to make decisions with respect to the trust, and each settlor or other person who has contributed assets to the trust, is a person described in any definitions above.

Client(s) Strategy Requests. Please check as many of the following strategies ("Structured Products") as may apply. With all Structured Products, in the event of early liquidation, there may not be a liquid market, and the investor may experience a loss due to costs involved with unwinding the investment. Furthermore, investors are exposed to the credit risk of the issuing entity, which in the case of a default, may result in a significant, or total, loss to the investor.

- ✓ 1. **Principal Protected Structured Notes and Certificates of Deposit**— 90%-100% Principal Protection which may result in lower returns than a direct investment in the underlying. Investor understands that principal is protected only if held to maturity and that FDIC insurance applies only to Market-Linked Certificates of Deposit up to the statutory limits.
- ✓ 2. **Buffered Notes**—Partial principal protection (usually protection from the first 10%-20% decline in the underlying) which serves as a buffer to loss. Investors participate in the downside, either on a 1-for-1 or leveraged basis, in the amount the underlying declines beyond the predetermined buffer level. Upside participation in the underlying may be leveraged and is sometimes capped.
- ✓ 3. **Contingently Protected (including Reverse Convertible and Callable Yield) Notes**—Full Principal Protection only if a pre-set barrier is not breached. If a barrier is breached, investors would lose the level of protection and participate in any decline in the underlying, if any, at maturity. Structures include but are not limited to those that pay investors a fixed coupon payment, participation in upside if the underlying performs positively, or both. The investor acknowledges that settlement at maturity may be in the form of cash or physical delivery of the underlying.
- ✓ 4. **Market Participation Notes and Warrants**—Zero principal protection. Full downside participation. MPNs may be linked to one or more underlyings in the form of a weighted basket or overlay and may be customized to offer straight 1 for 1, or varying degrees of upside participation, leverage or a fixed coupon. Investors in MPNs seek access to an underlying which is generally complex and which may be inaccessible to them in the market. DB and third party proprietary indices are typically used as an underlying. Warrants may be linked to hedge funds, mutual funds, basket of funds as well as individual stocks and may lose full value or all premium paid if the price of the underlying asset does not rise.

The following representations are applicable for an individual account. If this is a joint, trust, partnership, limited liability company, corporate or other type of account, the word "I" in the following paragraphs shall mean each owner in the case of a joint account or the authorized signatory making representations on behalf of the trust, partnership, limited liability company or other entity in the case of such account type, as the case may be.

I represent that the purchase of Structured Products is suitable for my account in light of my investment objectives and experience, financial situation and risk tolerance. I have made my own decision to utilize Structured Products for my account based upon my own judgment, adequate information I have independently obtained (from sources other than Deutsche Bank) regarding Structured Products and consultation with my own advisors to the extent I have deemed necessary as to the legal, regulatory, tax, business, financial, accounting and related aspects of my purchase of Structured Products. I understand that Structured Products may contain a derivative component in the form of one or more embedded options, and that such option(s) may have the result of reducing the gains or interest income, or increasing the losses (which may include a loss of principal) on the Structured Products, whether held to maturity or sold prior to maturity, to a greater extent than would be the case if the Structured Products did not contain such a derivative component. I also understand that Structured Products may lose their capital preservation features if sold prior to maturity. Finally, I understand the investment risks associated with Structured Products, including but not limited to issuer credit risk, market risk and liquidity risk.

To the extent permitted by applicable law and rules, I authorize Deutsche Bank to acquire and dispose of Structured Products for my Account. I acknowledge and agree that when Structured Products are utilized for my account Deutsche Bank may (i) charge me for, in addition to the fee I pay Deutsche Bank, for advice under a separate agreement and (ii) receive remuneration or compensation from the issuer of Structured Products or their affiliates and other sources, including the receipt of a commission or selling commission, both in the related purchase, or other offering, or in the case of a Structured Product for which Deutsche Bank acted as a dealer or in a similar capacity.

WST/PSR/SPAW/DEB/1017/02/01/7

Form 100-1

By signing below, I hereby confirm that the representations made in this Structured Products Agreement and Approval Form are true to the best of my knowledge.

Client signature block:*

Title of Account

Signature

Signature

Name

Name

Date

Date

*If this is a joint account, all joint account holders must sign.

The following signature block should be used for a Trust, Partnership, Limited Liability Company or Corporate client.

Title of Account

SOUTHERN FINANCIAL LLC

Signature

Date

KX 

10/19/17

Name

Title

JEFFREY EPSTEIN

If this is a trust account check as appropriate

Trustee

Co-Trustee

For Deutsche Bank Office Use Only

Investment Specialist Signature

Date



10/23/17

Print Investment Specialist Name

Manager Approval Signature

Date

Print Manager Name

Please submit all completed and fully executed forms to Compliance via NetX360.

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