

KYC Case # : **01946825**

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 met with Stew Oldfield on 3/7/17 to open new acct for other entity. RM has known this client for 4 years. Previously approved KYC#01704382			
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 checked="" type="checkbox"/>	Prytanee, LLC - Deposit-42967121	1/20/2017
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Darren Indyke		Preferred method of contact (indicate phone no., fax no., e-mail address, etc.): (212) 971-1314

**One sheet must be established for each account to be opened**

2. Account Ownership Summary														
Account Name:				Prytanee, LLC - Deposit					Acct. Number (if available):		42967121			
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)? the purpose of this account is to managing the monthly expenses of the company. Deposit account related to art purchases.														
Indicate from where the assets are expected to arrive?														
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): ██████████ <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)?: 0-5 inflows/outflows between 100k to 500k on a monthly basis														
What is the expected volume of assets and currency for the account approx. 90 days after opening?								\$197,882.14		Currency		usd		
What is the expected volume of assets and currency for the account approx. one year after opening?								\$197,882.14		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						
<b>Please list all parties related to the account.</b> 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"/>	Prytanee, 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"/>	
2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Southern Trust Company, Inc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The Pierre Trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<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 shareholder of Southern Trust Company, Inc.;@Prytanee, LLC;Sole UBO at Southern Trust Company, Inc. which owns 50% of account holder;
5	<input type="checkbox"/>	<input type="checkbox"/>	Darren 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"/>	@Prytanee, LLC;
6	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Caroline Sophie Camille Lang	<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"/>	Grantor/Trustee of The Pierre Trust;Sole Grantor/UBO of The Pierre Trust which owns 50% of the account holder;@Prytanee, LLC;Settlor to The Pierre Trust; Trustee:For The Pierre Trust;

SDNY\_GM\_00037487

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

CONFIDENTIAL

DB-SDNY-0000311

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148099

EFTA01252924

7	<input type="checkbox"/>	<input type="checkbox"/>	Etienne Pierre Jean Binant	<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"/>	@Prytanee, LLC; Managing Member of Prytanee;
---	--------------------------	--------------------------	-------------------------------------	--------------------------	--------------------------	--------------------------	--------------------------	-------------------------------------	--------------------------	--------------------------	--	--------------------------	--------------------------	--------------------------	---

**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 Epstein - [REDACTED]	Date of Birth:	1/20/1953		
Country of Residence:	Virgin Islands, U.S.	Country of Citizenship:	United States		
Address of primary residence:	Little Saint James Saint Thomas VI 00802 United States	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 Financial LLC	Position/Title/Rank:	President		
Address of employer:	6100 Red Hook Quarter B3 St. Thomas VI United States 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) Mr Epstein maintains a close relationship with Bill Clinton and Prince Andrew, Duke of York (United Kingdom).		<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)		<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)		<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:	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.) Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms. Personal account balance - \$4million. Financial Trust Company later merged into Southern Financial LLC. Refer last approved KYC case# 01898372 for full SOW verification of Jeffrey Epstein.					
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(\$):			
Other Known Financial Institutions:					
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

SDNY\_GM\_00037489  
DB-SDNY-0000313

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148101

EFTA01252926

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 Indyke - [REDACTED]	Date of Birth:	[REDACTED]		
Country of Residence:	United States	Country of Citizenship:	United States		
Address of primary residence:	2 Kean Court Livingston NJ 07039 United States	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:	Lawyer	Tax ID / SSN:	[REDACTED]		
Current Employer:	Southern Financial LLC	Position/Title/Rank:	Lawyer		
Address of employer:	575 Lexington Ave, 4th Fl Livingston 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)		<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)		<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)		<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"/>		12/23/2016
	<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(\$):			
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.):					

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

SDNY\_GM\_00037492  
DB-SDNY-0000316

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148104

EFTA01252929

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

3A. Individual Details (for all parties)					
Individual's Name:	Caroline Sophie Camille Lang -		Date of Birth:	[REDACTED]	
Country of Residence:	France	Country of Citizenship:	France		
Address of primary residence:	3 Rue Du Vieux Colombier Paris 75006 France		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:	Contemporary Art		Tax ID / SSN:	[REDACTED]	
Current Employer:	Sothebys		Position/Title/Rank:	Chairman	
Address of employer:	2, Rue Francois-Diday Geneva Switzerland 1204				
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)			<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)			<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)			<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:	Caroline Lang recognised for her indepth knowledge of art market & expertise in Impressionist, Modern & Contemporary art		
Primary Country of source of wealth/source of Funds?	Switzerland		
Primary industry of source of Wealth/Source of Funds?	Payment Processors / multilevel marketing companies		
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input checked="" 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.) The source of wealth for Caroline Lang derives from her employment as Chairman of Sotheby's Switzerland. Caroline Lang is internationally recognized for her in-depth knowledge of the art market and her longstanding expertise in Impressionist, Modern and Contemporary art. Appointed Chairman of the Swiss Department of Impressionist, Modern & Contemporary Art in 2012, this consummate polyglot has advised some of the most important collectors in Switzerland and worldwide. In November 2011, she played a decisive role in the New York sale of Abstraction-Figuration, an exceptional private collection of abstract works by Gerhard Richter and Max Ernst which realized a world auction record for a work by Richter at the time. Caroline Lang has also conducted major marathon auctions in Switzerland, the UK and Germany, including the historic week-long sales of works of art from Monrepos Castle in Ludwigsburg in 2000 and the Royal House of Hanover in 2005. Ms Lang also serves as an executive for Warner Brothers Inc., Her annual income is approx. 450k.			
Estimated Annual Income(\$):	450,000.00	Estimated amount of investable assets(\$):	\$1 MM - 2 MM
Estimated Net Worth(\$):	\$1 MM - 2 MM	Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			
Institution:		Country:	Est. Assets Under Mgt:
Institution:		Country:	Est. Assets Under Mgt:

SDNY\_GM\_00037493

DB-SDNY-0000317

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148105

EFTA01252930

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:	Etienne Pierre Jean Binant -		Date of Birth:	[REDACTED]	
Country of Residence:	France	Country of Citizenship:	France		
Address of primary residence:	60 Avenue Montagne Paris 75008 France		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:	Finance	Tax ID / SSN:	[REDACTED]		
Current Employer:	Prytane LLC	Position/Title/Rank:	Manager		
Address of employer:	6100 Red Hook Quarter B3 St Thomas VI United States 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)			<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)			<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)			<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(\$):			
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:	Prytanee, LLC - 00000550868		
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):	LLC	Purpose of Entity Other (specify):	
Country of incorporation/registration:	Virgin Islands, U.S.	Date of incorporation / registration:	7/22/2016
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St Thomas VI 00802 United States	U.S. TIN/EIN:	██████████
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 entity is owned 50/50 by Southern Trust Company Inc owned by Jeffrey Epstein and The Pierre Trust in which Caroline Lang is the grantor. Etienne Binant is the manager of the company. Jeffrey and Caroline share the same affinity for art and decided to become partners investing in artwork from up and coming artists together. They both invest equally in the purchases of the artwork.  The signatories on this account will be: Jeffrey Epstein Darren Indyke Caroline Lang Etienne Binant			
Please indicate how ownership of the legal entity is reflected: LLC 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): This entity is owned 50/50 by Southern Trust Company Inc owned by Jeffrey Epstein and The Pierre Trust in which Caroline Lang is the grantor. Etienne Binant is the manager of the company. Jeffrey and Caroline share the same affinity for art and decided to become partners investing in artwork from up and coming artists together. They both invest equally in the purchases of the artwork.			
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"/>	
<b>Describe Nature of Entity's Primary Business and Investment Activities</b>			
Nature of the business:	Engaging in the acquisition, ownership and management of artwork for investment purposes. Artwork and cash to purchase the artwork are the only assets.		
Countries where business is transacted:	Virgin Islands, U.S.		
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): The source of wealth for this entity primarily comes from Jeffrey Epstein and Caroline Lang. Please revert to their individual sources of wealth for more details.			
Estimated gross receipts p.a.(\$):	1,000,000.00		
Estimated net profit p.a. (\$):	1,000,000.00		
Estimated investable assets (\$):	\$1 MM - 2 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:	

SDNY\_GM\_00037496

DB-SDNY-0000320

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148108

EFTA01252933

**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:	Southern Trust Company, Inc. - 00000483883		
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:	Virgin Islands, U.S.	Date of incorporation / registration:	11/18/2011
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St Thomas VI 00802 United States	U.S. TIN/EIN:	██████████
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.: Jeffrey Epstein is the sole shareholder at Southern Trust			
Please indicate how ownership of the legal entity is reflected: Consent of Board of directors indicating merger between Financial Trust Company Inc and Southern Financial LLC			
<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): Jeffrey Epstein is the sole shareholder of Southern Trust			
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"/>			
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	Consult and invest client funds and gain revenue based on fees and returns		
Countries where business is transacted:	Virgin Islands, U.S.		
Number of employees:	4		

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)			
Primary Country of source of wealth/source of Funds?			
Primary industry of source of Wealth/Source of Funds?			
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):			
Estimated gross receipts p.a.(\$):			
Estimated net profit p.a. (\$):			
Estimated investable assets (\$):			
Potential Amount to be invested with PWM (\$):			
Other Known Financial Institutions:			
Institution:	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:	The Pierre Trust -		
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

SDNY\_GM\_00037497

DB-SDNY-0000321

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148109

EFTA01252934

Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Virgin Islands, U.S.	Date of incorporation / registration:	11/21/2016
Volcker Status:	Identified in previous KYC	Volcker Flag:	No
Address (city, street, post code):	3 rue du Vieux Colombier, Paris 75006 France	U.S. TIN/EIN:	
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.: Grantor/trustee/beneficiary: Caroline Lang residing at 3 Rue Du Vieux Colombier 75006 Paris 06 France.  Caroline Lang is beneficiary during her lifetime. Upon her death, her children become the beneficiaries: Anna Lea Elvire Laik and Rebecca Zoe Berthe Laik both residing at 3 Rue Du Vieux Colombier 75006 Paris 06 France.			
Please indicate how ownership of the legal entity is reflected: trust 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). Grantor/trustee/beneficiary: Caroline Lang residing at 3 Rue Du Vieux Colombier 75006 Paris 06 France.  Caroline Lang is beneficiary during her lifetime. Upon her death, her children become the beneficiaries: Anna Lea Elvire Laik and Rebecca Zoe Berthe Laik both residing at 3 Rue Du Vieux Colombier 75006 Paris 06 France.			
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"/>	
<b>Describe Nature of Entity's Primary Business and Investment Activities</b>			
Nature of the business:	Investment in artwork of up & coming artists. Engaging in the acquisition, ownership and management of artwork for investment purposes. Artwork and cash to purchase the artwork are the only assets.		
Countries where business is transacted:	Virgin Islands, U.S.		
Number of employees:	1		

<b>3D. Wealth Profile</b> (Only for parties requiring source of wealth description as indicated in Section 2)			
Primary Country of source of wealth/source of Funds?			
Primary industry of source of Wealth/Source of Funds?			
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):			
Estimated gross receipts p.a.(\$):			
Estimated net profit p.a. (\$):			
Estimated investable assets (\$):			
Potential Amount to be invested with PWM (\$):			
Other Known Financial Institutions:			
Institution:		Country:	
			Est. Assets Under Mgt:
Institution:		Country:	
			Est. Assets Under Mgt:
Institution:		Country:	
			Est. Assets Under Mgt:

CONFIDENTIAL

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	<input type="checkbox"/> Drivers License	<input checked="" type="checkbox"/> Passport	<input type="checkbox"/> National/State ID <input type="checkbox"/> Other : GCIS#550868
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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 type="checkbox"/> Yes <input checked="" 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please summarize any negative results from the database searches indicated above: Negative BIS on Southern Trust Company Inc is non negative. 2 criminal filings against Jeffrey E. Epstein, resulted in 6 month jail sentence. Attached to this case, previous AML approvals received in the past.			
D. Court cases against Richard Kahn are non negative since he is a counsel representing parties. Last court case discounted on the basis that it was filed in Massachusetts in 2004 and case has since been closed since 2005. Panama hit for Etienne Binant, attached to the case			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input type="checkbox"/> Yes <input checked="" 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? (If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)			
<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		
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		

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

SDNY\_GM\_00037499

DB-SDNY-0000323

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148111

EFTA01252936

M. Case Comments		
Created By	Date	Comments
Vijay-A Sawant	5/30/18 8:22 AM	No material changes to account as per email confirmation from Stewart Oldfield dtd 5/30/2018.
Kshitij Golani	9/10/18 2:40 PM	<p>This KYC serves as a high risk update for Prytane, LLC (herein referred to as "acountholder"). Below are the reasons why we are comfortable with approving this KYC:</p> <ul style="list-style-type: none"> <li>Information and supporting documents required by our AML Policy were provided and reviewed; and as a result, we have an understanding of the structure of the acountholders, their purpose, the purpose of the accounts and expected transaction activity.</li> <li>There are a few risk factors associated with the acountholder –                             <ul style="list-style-type: none"> <li>SOW: One of the UBOs (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which manages client's assets. SOW verification was obtained.</li> <li>Negative Media &amp; 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.</li> <li>Our review did not identify any red flags and thus there was no need to escalate this case further.</li> <li>We performed due diligence searches on all parties and did not find the names searched to be on any sanctions lists.</li> </ul> </li> </ul>

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Stewart Oldfield	(Signature) Stewart Oldfield	6/7/2018
Office Director/Business Head:	ANdrew F Gallivan	(Signature) ANdrew F Gallivan	6/7/2018
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Kshitij Golani	(Signature) Kshitij Golani	9/10/2018

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)	

**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 (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.

SDNY\_GM\_00037500  
DB-SDNY-0000324

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

<https://dbforcepb.my.salesforce.com/servlet/servlet.Integration?lid=01N30000000D9Di&e...> 7/11/2019

EFTA\_00148112

EFTA01252937

**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** 