

KYC Case # : **01161376**

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: [REDACTED]	Booking Center:	New York
Relationship Manager:	Paul Morris		
Relationship to PWM:	<input checked="" type="checkbox"/> New PWM Relationship		<input type="checkbox"/> Existing PWM Relationship
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile:		
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.): [REDACTED] works for [REDACTED] [REDACTED] which is owned by Jeffrey Epstein. Jeffrey introduced [REDACTED] to us			
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"/>	[REDACTED] and Karyna Shuliak	12/16/2013
2	<input checked="" type="checkbox"/>	[REDACTED] and Karyna Shuliak -- Money Market	12/16/2013
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:			[REDACTED] and Karyna Shuliak					Acct. Number (if available):				
Account Manager:			Paul Morris									
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Checking account for the daily use of [REDACTED] and Karyna												
Indicate from where the assets are expected to arrive?												
<input 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 checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan. New York <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)? Roughly 10 inflows and outflows per month ranging from \$100 to \$10,000												
What is the expected volume of assets and currency for the account approx. 90 days after opening?			10000				Currency		USD			
What is the expected volume of assets and currency for the account approx. one year after opening?			10000				Currency		USD			
Please list all parties related to the account.												
For each party:												
<ul style="list-style-type: none"> ● 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 %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Karyna Shuliak	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	[REDACTED]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

2. Account Ownership Summary												
Account Name:		[REDACTED] and Karyna Shuliak -- Money Market					Acct. Number (if available):					
Account Manager:		Paul Morris										
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Money Market account to hold their joint funds and earn interest												
Indicate from where the assets are expected to arrive?												
<input 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 checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan. New York <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)? Roughly 1-3 inflows and outflows per month ranging from \$100 to \$10,000												
What is the expected volume of assets and currency for the account approx. 90 days after opening?			10000			Currency		USD				
What is the expected volume of assets and currency for the account approx. one year after opening?			10000			Currency		USD				
Please list all parties related to the account.												
For each party:												
<ul style="list-style-type: none"> • 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 %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Karyna Shuliak	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	[REDACTED]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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] - [REDACTED]			Date of Birth:	[REDACTED]
Country of Residence:	USA		Country of Citizenship:	USA	
Address of primary residence:	[REDACTED]				
Profession/Occupation:				Tax ID / SSN:	[REDACTED]
Current Employer:	[REDACTED], [REDACTED]		Position/Title/Rank:		
Address of employer:	[REDACTED]				
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:
Paul Morris	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		12/3/2013
	<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:	LLC		
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] works for [REDACTED], [REDACTED] which is the [REDACTED] that is used to run Jeffrey Epstein's New York City home. The legal address for [REDACTED] is in the USVI but the home is located at 9 East 71 st. [REDACTED] is the head of the household and any maids, chefs, etc report to her. She makes sure that all operations run smoothly. This account is not being created to run the household but for [REDACTED] and Karyna's personal funds.			
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(\$):	20,000.00
Other Known Financial Institutions:			

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	60,000.00
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 Karyna Shuliak					

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

3A. Individual Details (for all parties)					
Individual's Name:	Karyna Shuliak - [REDACTED]		Date of Birth:	[REDACTED]	
Country of Residence:	USA		Country of Citizenship:	Slovakia	
Address of primary residence:	[REDACTED]				
Profession/Occupation:	Student		Tax ID / SSN:	[REDACTED]	
Current Employer:	N/A		Position/Title/Rank:	N/A	
Address of employer:	[REDACTED]				
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:
Paul Morris	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		12/3/2013
	<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:		Student			
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.) Karyna does not have an income of her own. Her lifestyle is supported by her wife, [REDACTED]					
Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	<\$1 MM		
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.): Married to [REDACTED]					

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



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP				
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
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4. Attachments	
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License <input type="checkbox"/> Passport <input type="checkbox"/> National/State ID <input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input type="checkbox"/> Yes <input checked="" 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No negative results found <input type="checkbox"/> Yes <input checked="" 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: [REDACTED]: No Negative Media No Court Cases	
D. KARYNA SHULIAK: No Negative Media No Court Cases [REDACTED] [REDACTED]: Previously KYC approved. See Case #:01141322 for relevant attachments	
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
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	
F. 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	

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<https://na4.salesforce.com/servlet/serveIntegration?id=01N50000000D9Di&eid=5...> 12/17/2013

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EFTA01255033

summary of the nature/contents of the non-English Documentation:

CONFIDENTIAL

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SDNY_GM_00053531

12/17/2013

DB-SDNY-0016355

EFTA_00164112

EFTA01255034

M. Case Comments		
Created By	Date	Comments
Melisa Venegas	12/13/2013 12:39 AM	██████████ works for ██████████ and is the head of Jeffrey Epstein's household, the employees in the house report to her. ██████████ is owned by Mr. Epstein, and based on his high risk profile, we also gave a high risk to this case. We haven't found any negative information or articles linking ██████████ to Mr. Epstein. This account is not being created to run the household but for ██████████ and Karyna's personal funds.
Janice Franklin	12/13/2013 1:27 PM	Please see KYC 1082293 for information regarding Mr. Epstein, a current PB client.

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Paul Morris	(Signature) Paul Morris	12/10/2013
Office Director/Business Head:	Brian M. Biggar	(Signature) Brian M. Biggar	12/10/2013
Regional Office Director:		(Signature)	
AML Business Risk:	Melisa Venegas	(Signature) Melisa Venegas	12/13/2013
AML Compliance:	J Franklin o/b/o J. Lightbody	(Signature) J Franklin o/b/o J. Lightbody	12/13/2013

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 
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