

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

- D. JEFFREY EPSTEIN:
RDC Alert #1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris
PCR Alert #1/2 -- Not our client
All Cases Closed
- SOUTHERN FINANCIAL LLC:
No negative media
No court cases
- SOUTHERN TRUST INC:
No negative media
Court Case -- Not our client.
- FINANCIAL INFOMATICS INC:
No negative media
No court cases
- J. Epstein & Co.
All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML
Clearance attached
Court Cases have been closed
- FINANCIAL TRUST & CO
RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been
cleared by Compliance and is attached
Court Cases are closed

E. Has the client or related party ever been convicted of a criminal offense?

- E. Yes

F. Has the client or related party ever been involved in any past or threatened litigation against Deutsche Bank AG or any of its subsidiaries?

- F. No

G. To the best of your knowledge, does the customer have any financial association/interaction, e.g. maintain homes or companies, etc., within the countries and regions, or is the customer associated with the regimes or organizations that..

- G. No

H. Does the client or related party have any financial or other associations/interactions within countries that pose a risk of money laundering?

- H. No

I. Entity Documentation Attached

- I. Yes

J. Intermediary form approved by AML compliance? (intermediaries only)

- J. Not Applicable

K. If any documentation is not in English, please provide an English summary or translation

Summary