DB PWM GLOBAL KYC/NCA: **PART A** [logo]

KYC Case # : **01133377**   Status : **6. Approved**

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

1. Relationship Details			
Relationship Name:	EPSTEIN, JEFFREY RELATIONSHIP: ███	Booking Center:	New York
Relationship Manager:	Paul Morris		

Relationship to PWM:	☑ New PWM Relationship	☐ 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?	☑ Client Referral ☐ RM Prospect ☐ Intermediary/FIM ☐ Other Source (CIB, etc.)
	Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Darren Indyke is the in-house lawyer for Jeffrey Epstein, who is a current client of the bank. Darren has worked extensively with Paul here at DB while we've opened accounts for Jeffrey Epstein and he was a previous client of Paul's when he was at JPMorgan. He met Paul at JPM through Jeffrey Epstein

Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	☐ Yes	☑ 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	☑	The 2007 Jeffrey E. Epstein Insurance Trust #3	10/16/2013
2	☑	HBRK Associates, Inc	10/16/2013
3	☑	HBRK Associates, Inc -- Money market	10/16/2013
4	☑	Darren K. Indyke PLLC	10/16/2013
5	☑	Darren K. Indyke PLLC -- Money Market	10/16/2013
6	☑	Darren K. Indyke PLLC-Attorney Trust Account	10/16/2013
7	☑	Darren K. Indyke PLLC-Attorney Trust Account -- Money Market	10/16/2013
8	☑	New York Strategy Group, LLC	10/16/2013
9	☑	New York Strategy Group, LLC -- Money Market	10/16/2013

Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Darren Indyke	Preferred method of contact (indicate phone no., fax no., e-mail address, etc.):	███

One sheet must be established for each account to be opened

2. Account Ownership Summary		
Account Name:	The 2007 Jeffrey E. Epstein Insurance Trust #3	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 to hold funds for this trust.

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	100000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	150000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M? ☐ Yes ☑ 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	☑	☑	The 2007 Jeffrey E. Epstein Insurance Trust #3	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Jeffrey Epstein	☐	☐	☑	☐	☐	☐	☐		☐	☐	☐	Grantor;
3	☐	☑	Darren Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;
4	☐	☑	Richard Kahn	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;

2. Account Ownership Summary		
Account Name:	The 2007 Jeffrey E. Epstein Insurance Trust #3 -- 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 funds for the insurance trust

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	200000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	250,000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?   ☐ Yes ☑ 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	☑	☑	The 2007 Jeffrey E. Epstein Insurance Trust #3	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Jeffrey Epstein	☐	☐	☑	☐	☐	☐	☐		☐	☐	☐	grantor;
3	☐	☑	Darren Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;
4	☐	☑	Richard Kahn	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;

2. Account Ownership Summary		
Account Name:	HBRK Associates, Inc	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 to hold funds for daily use for the company.

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	50000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	50000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ 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	☑	☑	HBRK Associates, Inc	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Richard Kahn	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	
3	☐	☑	Harry Beller	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	

2. Account Ownership Summary		
Account Name:	HBRK Associates, Inc -- 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 funds for the company and earn interest

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. new York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	100000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	150000	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ 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	☑	☑	HBRK Associates, Inc	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Richard Kahn	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	
3	☐	☑	Harry Beller	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	

2. Account Ownership Summary		
Account Name:	Darren K. Indyke PLLC	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 the this law firm

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	50000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	75000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M? ☐ Yes ☑ 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	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	
2	☑	☑	Darren K. Indyke PLLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	

2. Account Ownership Summary		
Account Name:	Darren K. Indyke PLLC -- 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 for the company to hold funds and earn interest

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 monthr anging from $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	100000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	125000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?   ☐ Yes ☑ 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	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	
2	☑	☑	Darren K. Indyke PLLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	

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2. Account Ownership Summary

Account Name:	Darren K. Indyke PLLC-Attorney Trust Account	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 clients escrow. Funds are placed here to earn interest

Indicate from where the assets are expected to arrive?

- ☐ DB Group: Same Booking Center (indicate account number):
- ☐ DB Group: Other Booking Center (indicate DB location and account details):
- ☑ Other Institution (Indicate name & location): JPMorgan. New York, NY
- ☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	50000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	75000	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ 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	☑	☑	Darren K. Indyke PLLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	

2. Account Ownership Summary		
Account Name:	Darren K. Indyke PLLC-Attorney Trust Account -- 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 for clients escrow. Funds are placed here to earn interest

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	75000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	100000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?   ☐ Yes ☑ 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	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	
2	☑	☑	Darren K. Indyke PLLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	

2. Account Ownership Summary		
Account Name:	New York Strategy Group, LLC	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 needs of the company

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	25000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	50000	Currency	USD

Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ 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	☑	☑	New York Strategy Group, LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	

2. Account Ownership Summary				

Account Name:	New York Strategy Group, LLC -- 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 funds for the company and earn interest

Indicate from where the assets are expected to arrive?

☐ DB Group: Same Booking Center (indicate account number):

☐ DB Group: Other Booking Center (indicate DB location and account details):

☑ Other Institution (Indicate name & location): JPMorgan. New York, NY

☐ 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 $1,000 to $10,000

What is the expected volume of assets and currency for the account approx. 90 days after opening?	50000	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	75000	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ 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	☑	☑	New York Strategy Group, LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Darren Indyke	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	

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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 - 00000486405	Date of Birth:	2/19/1965
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	2 Kean Court Livingston NJ 07039 USA	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Lawyer	Tax ID / SSN:	▇▇▇▇▇
Current Employer:	Southern Financial LLC	Position/Title/Rank:	
Address of employer:	6100 Red Hook Quarter B3 St Thomas USVI 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	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)	☐ Family ☐ Friendship ☑ 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)	☐ Yes ☑ 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	☐	☐	☑		9/13/2013
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	Attorney
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☐ Business Owner ☑ Salary/Earnings ☑ Investment ☐ Inheritance/Gifts ☐ 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.) Darren has been an in-house lawyer for Jeffrey Epstein at Southern Financhial LLC for over 10yrs, whererin his main source of income comes form (See KYC #1082293). He also owns a few of his own small companies (LLC's) for his private investments, and well his own law practice, Darren Indyke PLLC

Estimated Annual Income($):	300,000.00	Estimated amount of investable assets($):	$1 MM - 2 MM
Estimated Net Worth($):	$2 MM - 5 MM	Amount of assets planned to invest with PWM($):	200,000.00
Other Known Financial Institutions:			

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	10,000,000.00
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.):

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 - 00000487202	Date of Birth:	5/9/1956
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	12 Golar Drive Monsey NY 10952 USA	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Accountant	Tax ID / SSN:	▆▆▆▆▆
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:	
Address of employer:	575 Lexington Avenue, 4th Fl New York NY USA 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	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)?*(if Yes, describe)*	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group?*(if Family or Friendship, describe)*	☐ Family ☐ Friendship ☑ 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)*	☐ Yes ☑ 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	☐	☐	☑		9/13/2013
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	Accounting Firm
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☑ Business Owner ☐ Salary/Earnings ☑ Investment ☐ Inheritance/Gifts ☐ 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.) Harry is an accountant and owns his own firm. He is also the in-house accountant for Southern Financial LLC (KYC #:01082293). He has gained his wealth from his years as the in-house accountant and his own firm

Estimated Annual Income($):	500,000.00	Estimated amount of investable assets($):	$1 MM - 2 MM
Estimated Net Worth($):	$2 MM - 5 MM	Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	5,000,000.00
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

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 Kahn - 00000486407	Date of Birth:	12/6/1972
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	130 E 75th St, #7E New York NY 10021 USA	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Accountant	Tax ID / SSN:	▉▉▉▉▉
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:	
Address of employer:	575 Lexington Ave, 4th Fl New York NY USA 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	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)	☐ Family ☐ Friendship ☑ 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)	☐ Yes ☑ 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	☐	☐	☑		9/13/2013
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	Accountant
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☑ Business Owner ☑ Salary/Earnings ☐ Investment ☐ Inheritance/Gifts ☐ 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.) Richard owns HBRK Associates Inc with Harry Beller. He is also an in-house accountant for Southern Financial, LLC (KYC #1082293), for over 10yrs. His wealth comes from his own firm and being an in-house accountant

Estimated Annual Income($):	300,000.00	Estimated amount of investable assets($):	$1 MM - 2 MM
Estimated Net Worth($):	$2 MM - 5 MM	Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	1,000,000.00
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.):

DB-SDNY-0000138

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

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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 - 00000483289	Date of Birth:	1/20/1953
Country of Residence:	USVI	Country of Citizenship:	USA
Address of primary residence:	Litte Saint James Saint Thomas 00802 US Virgin Islands	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Self Empolyed	Tax ID / SSN:	▮▮▮▮▮
Current Employer:	Southern Financial LLC	Position/Title/Rank:	President
Address of employer:	6100 Red Hook Quarter B3 St. Thomas USVI 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	☐ Yes ☑ No
Is the individual a Politically Exposed Person (PEP)? *(if Yes, describe)*	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group? *(if Family or Friendship, describe)*	☐ Family ☐ Friendship ☑ 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)*	☐ Yes ☑ 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	☐	☐	☑		9/13/2013
	☐	☐	☐		
	☐	☐	☐		

☐ 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?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	☑ Business Owner ☐ Salary/Earnings ☑ Investment ☐ Inheritance/Gifts ☐ 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

Estimated Annual Income($):	10,000,000.00	Estimated amount of investable assets($):	$50 MM - 100 MM
Estimated Net Worth($):	$100 MM - 500 MM	Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	120,000,000.00
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.):					

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:	New York Strategy Group, LLC - 00000487215		
Type of Entity:	☐ Foundation/Association ☐ Trust ☑ Company ☐ Estate ☐ Partnership	Purpose of Entity:	☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	1/13/2000
Volcker Status:		Volcker Flag:	
Address (city, street, post code):	575 Lexington Ave, 4th Fl New York NY 10022 USA	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.: New York Strategy Group, LLC is a single member LLC owned by Darren K. Indyke.			
Please indicate how ownership of the legal entity is reflected: Darren K. Indyke is the sole member			
☐ 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): Darren K. Indyke is the sole member			
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 ☐ No ☑	
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	Private LLC used for the personal investments of Darren Indkye. The LLC holds funds and invests in assets that Darren finds interesting		
Countries where business is transacted:	USA		
Number of employees:	1		

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): New York Strategy Group, LLC invests in different asset classes and gains its assets through the revenue it makes on the return investments					
Estimated gross receipts p.a.($):	100,000.00				
Estimated net profit p.a. ($):	75,000.00				
Estimated investable assets ($):	<$1 MM				
Potential Amount to be invested with PWM ($):	50,000.00				
Other Known Financial Institutions:					
Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	500,000.00
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:	Darren K. Indyke PLLC - 00000487220		
Type of Entity:	☐ Foundation/Association ☐ Trust ☑ Company ☐ Estate ☐ Partnership	Purpose of Entity:	☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	9/5/2008
Volcker Status:		Volcker Flag:	
Address (city, street, post code):	575 Lexington Avenue New York NY 10022 USA	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.:
Single member PLLC with Darren K. Indyke as the sole member and owner

Please indicate how ownership of the legal entity is reflected: Single member PLLC with Darren K. Indyke as the sole member and owner

☐ 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 PLLC with Darren K. Indyke as the sole member and owner

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 ☐ No ☑

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	Law practice. This is Darren Indyke's private law firm.
Countries where business is transacted:	USA
Number of employees:	1

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):
Assets come from the rates he charges clients for his law services

Estimated gross receipts p.a.($):	300,000.00
Estimated net profit p.a. ($):	200,000.00
Estimated investable assets ($):	<$1 MM
Potential Amount to be invested with PWM ($):	100,000.00

Other Known Financial Institutions:

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	500,000.00
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:	HBRK Associates, Inc - 00000487223	
Type of Entity:		Purpose of Entity:

	☐ Foundation/Association ☐ Trust ☑ Company ☐ Estate ☐ Partnership		☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USA	Date of incorporation / registration:	8/29/2008
Volcker Status:		Volcker Flag:	
Address (city, street, post code):	575 Lexington Avenue, 4th Fl New York NY 10022 USA	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.:
Richard Kahn 50% owner
Harry Beller 50% owner

Please indicate how ownership of the legal entity is reflected: Richard Kahn 50% owner
Harry Beller 50% owner

☐ 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)*: Richard Kahn 50% owner
Harry Beller 50% owner

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 ☐ No ☑

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	Accounting firm
Countries where business is transacted:	USA
Number of employees:	2

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):
Harry and Rich are both in-house accountants for Jeffrey Epstein. Their company's, HBRK, assets comes from the fees they charge for this service

Estimated gross receipts p.a.($):	400,000.00
Estimated net profit p.a. ($):	300,000.00
Estimated investable assets ($):	<$1 MM
Potential Amount to be invested with PWM ($):	200,000.00

Other Known Financial Institutions:

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	200,000.00
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 2007 Jeffrey E. Epstein Insurance Trust #3 - 00000487199
Type of Entity:	☐ Foundation/Association ☑ Trust ☐ Company ☐ Estate ☐ Partnership
Purpose of Entity:	☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial

Type of Entity Other (specify):			Purpose of Entity Other (specify):	
Country of incorporation/registration:	USVI		Date of incorporation / registration:	11/1/2007
Volcker Status:			Volcker Flag:	
Address (city, street, post code):	575 Lexington Ave, 4th Fl New York NY 10022 USA		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: Grantor
Darren Indyke: Trustee
Richard Kahn: Trustee

Please indicate how ownership of the legal entity is reflected: Jeffrey Epstein: Grantor
Darren Indyke: Trustee
Richard Kahn: Trustee

☐ 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: Grantor
Darren Indyke: Trustee
Richard Kahn: Trustee

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 ☐ No ☑

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	Trust account
Countries where business is transacted:	USVI, USA
Number of employees:	2

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): The funds for this trust account come from contributions made by the Grantor, Jeffrey Epstein. His source of wealth can be found in his wealth profile	
Estimated gross receipts p.a.($):	
Estimated net profit p.a. ($):	
Estimated investable assets ($):	<$1 MM
Potential Amount to be invested with PWM ($):	400,000.00
Other Known Financial Institutions:	

Institution:	JPMorgan	Country:	USA	Est. Assets Under Mgt:	400,000.00
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	EPSTEIN, JEFFREY RELATIONSHIP
Risk Rating Comments:	

Booking Center	☑ NY	☐ NY/Offshore	☐ Offshore	☐ Moderate Risk	☑ High Risk	Janice Franklin

(Compliance Signature)

☐ DB Employee	☐ DB Managed PIC	☐ DB is Trustee/Co-Trustee	☐ Bearer Shares

4. Attachments

A. Type of Photo ID Provided — ☑ Drivers License ☐ Passport ☐ National/State ID ☐ Other

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	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
PCR checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
OFAC checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
Denial Orders checks complete	☑ Yes ☐ No	negative results found	☐ Yes ☑ No
Martindale-Hubbell searched (Lawyers/Law Firms only)	☐ Yes ☑ No	negative results found	☐ Yes ☐ No

Please summarize any negative results from the database searches indicated above: DARREN K. INDYKE:
No negative Media
No court cases

NEW YORK STRATEGY GROUP, LLC:
No negative media
No court cases

DARREN K. INDYKE PLLC:
No negative media
No court cases

HBRK ASSOCIATES INC:
No negative media
No court cases

D. RICHARD KAHN:
Approved KYC #01082293
AML Clearance attached to this KYC
Not barred from NYSE Arca and he was cleared twice as seen in the attachments

HARRY BELLER:
Negative Media: Not our client. All negative media pertains to an environmental microbiologist. Our client is an accountant
Court Cases:
#1: Disposed in 1987
All other cases are not our client. The other court cases refer to a Dr. Harry Beller. Our client is an accountant

JEFFREY EPSTEIN INSURANCE TRUST:
No negative media
No court cases

JEFFREY EPSTEIN:
Previously KYC'd and approved in: 01082293 and 01121718

E. To the best of your knowledge, has the client ever been convicted of a criminal offense? — ☑ Yes ☐ 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)* — ☐ Yes ☑ No

G. — ☐ Yes ☑ No

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DB-SDNY-0000144

EFTA_00147932

EFTA01282066

	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)?	
H.	Does the client or related party have any financial or other association/ interactions within high risk countries?	☐ Yes ☑ No
I.	Corporate Documentation Attached (Legal Entities Only)	☑ Yes ☐ No ☐ Not Applicable
J.	Undisclosed Principal Form Complete (Intermediaries Only)	☐ Yes ☐ No ☑ 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?	☐ Yes ☑ No
	Is the account structure unusually complex?	☐ Yes ☑ No
	Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	☐ Yes ☑ No
	Is there any indication this could be a prohibited business relationship?	☐ Yes ☑ No
	Are the bearer shares identified subject to acceptable controls?	☐ Yes ☑ No

M. Case Comments		
Created By	**Date**	**Comments**
Amanda Kirby	10/11/113 9:21 AM	Need to clone to make 2 new KYC's

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Paul Morris	(Signature) Paul Morris	10/3/2013
Office Director/Business Head:	Brian M. Biggar	(Signature) Brian M. Biggar	10/4/2013
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	
	Jacqueline Lightbody	Jacqueline Lightbody	10/11/2013
	Janice Franklin	Janice Franklin	11/1/2013

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)	

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 Professionals1(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

SDNY_GM_00037323

DB-SDNY-0000147

EFTA_00147935

EFTA01282069