

KYC Case # : **01790739**

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:	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: ***This KYC is a periodic review for high risk remediation*** Original KYC1346733		
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 reached out to Stew Oldfield on 3/7/17 to have a new acct opened under Zorro Management LLC and add two new signors to this new acct only.		
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"/>	Gratitude America, Ltd- [REDACTED]	2/18/2015
2	<input checked="" type="checkbox"/>	Neptune, LLC - Deposit [REDACTED]	10/18/2013
3	<input checked="" type="checkbox"/>	NES, LLC - Deposit [REDACTED]	11/8/2013
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.): [REDACTED]

One sheet must be established for each account to be opened

2. Account Ownership Summary														
Account Name:			Gratitude America, Ltd					Acct. Number (if available):		[REDACTED]				
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 and earn interest														
Indicate from where the assets are expected to arrive?														
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): [REDACTED] <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)? Roughly 1-3 inflows and outflows per month ranging from \$10,000 to \$100,000														
What is the expected volume of assets and currency for the account approx. 90 days after opening?							339,273.79		Currency		USD			
What is the expected volume of assets and currency for the account approx. one year after opening?							320655.00		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							
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	<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"/>	
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. 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 member of LLC
3	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Gratitude America Ltd	<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. Account Ownership Summary														
Account Name:		Neptune, LLC - Deposit						Acct. Number (if available):		[REDACTED]				
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)? Checking account used for the daily needs of running Jeffrey Epstein's home in NYC.														
Indicate from where the assets are expected to arrive?														
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): [REDACTED] <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)?: Roughly 10 inflows and outflows per month ranging from \$,1000 to \$10,000														
What is the expected volume of assets and currency for the account approx. 90 days after opening?								147,865.38		Currency		usd		
What is the expected volume of assets and currency for the account approx. one year after opening?								275000		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				
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 %))	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<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 member of Neptune llc;
2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neptune, 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"/>	<input type="checkbox"/>	
3	<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"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<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"/>	<input type="checkbox"/>	

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2. Account Ownership Summary														
Account Name:		NES, LLC - Deposit					Acct. Number (if available):			[REDACTED]				
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)? Deposit account to hold the funds necessary to cover the costs associated with running one of Jeffrey Epstein's homes and earn interest														
Indicate from where the assets are expected to arrive?														
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): [REDACTED] <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)?: Roughly 1-3 inflows and outflows per month ranging from \$1000 to \$10000														
What is the expected volume of assets and currency for the account approx. 90 days after opening?		319,765.84			Currency		usd							
What is the expected volume of assets and currency for the account approx. one year after opening?		150000.00			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						
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	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NES, 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 type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. 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"/>	
3	<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"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<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"/>	

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:	[REDACTED]		Country of Citizenship:	[REDACTED]	
Address of primary residence:	[REDACTED]		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:		
Address of employer:	575 Lexington Avenue, 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-recognized 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:	

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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 [REDACTED]	Date of Birth:	[REDACTED]		
Country of Residence:	[REDACTED]	Country of Citizenship:	[REDACTED]		
Address of primary residence:	[REDACTED]	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:	Accountant	Tax ID / SSN:	[REDACTED]		
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:			
Address of employer:	575 Lexington Avenue, 4th Floor Monsey 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-recognized 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:	

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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:	Jeffrey E. Epstein - [REDACTED]	Date of Birth:	[REDACTED]		
Country of Residence:	USVI	Country of Citizenship:	USA		
Address of primary residence:	Little Saint James Saint Thomas 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 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-recognized 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) close relationship with Bill Clinton and Prince Andrew.		<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?	
Primary industry of source of Wealth/Source of Funds?	
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:
<p>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.) Jeffrey Edward Epstein (born [REDACTED]) is an American financier and registered sex offender in the United States. He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. In 2008, Epstein was convicted of soliciting an underage girl for prostitution, for which he served 13 months in prison. He lives in the US Virgin Islands. Epstein taught calculus and physics at the Dalton School in Manhattan from 1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns.</p> <p>In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-net-worth clients on tax strategies. Proving successful in his financial career, in 1980 Epstein became a partner at Bear Stearns.</p> <p>In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than \$1 billion in net worth. In 1987, Leslie Wexner, founder and chairman of Ohio-based The Limited chain of women's clothing stores, became a well-known client. Wexner acquired Abercrombie & Fitch the following year. In 1992 he converted a private school on the Upper East Side into an enormous residence. Epstein later bought that property, in the wealthiest part of Manhattan. In 1996, Epstein changed the name of his firm to the Financial Trust Company and, for tax advantages, based it on the island of St. Thomas in the U.S. Virgin Islands.</p> <p>In 2003, Epstein bid to acquire New York magazine. Other bidders were advertising executive Donny Deutsch, investor Nelson Peltz, media mogul and publisher Mortimer Zuckerman, who had the New York Daily News, and film producer Harvey Weinstein. They were ultimately outbid by Bruce Wasserstein, a longtime Wall Street investor, who paid \$55 million.</p>	

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In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and Zuckerman were equal partners in the venture. Roshan, as its editor-in-chief, retained a small ownership stake. Presently, Mr. Epstein founded Southern Trust Company Inc, a private consulting company that invests the assets of their clients and gets their revenue from the return of these investments. Southern Trust invests in different portfolios catered to their clients and makes their revenue based on the returns and the fees associated with managing their client's assets.

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:
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:	Gratitude America Ltd - [REDACTED]		
Type of Entity:	<input checked="" type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input type="checkbox"/> Private Investment <input checked="" type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USVI	Date of incorporation / registration:	4/25/2012
Volcker Status:	Estate or Charitable/Philanthropic	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter, B3 St. Thomas 00802 United States	U.S. TIN/EIN:	66-0789697
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.: 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary. The signors on this account are Jeffrey Epstein and Darren Indyke			
Please indicate how ownership of the legal entity is reflected: <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): 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary. The signors on this account are Jeffrey Epstein and Darren Indyke			
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:	The foundation has not yet started distributing funds and is still determining what endeavors they will support. They hope to support a broad range of efforts including, but not limited to, education, science, research, etc.		
Countries where business is transacted:	USA, USVI		
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?	
Primary industry of source of Wealth/Source of Funds?	
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):	

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The foundation is funded by Jeffrey Epstein. Please revert to his source of wealth for more details.					
Estimated gross receipts p.a.(\$):	500,000.00				
Estimated net profit p.a. (\$):	500,000.00				
Estimated investable assets (\$):	\$2 MM - 5 MM				
Potential Amount to be invested with PWM (\$):	100,000.00				
Other Known Financial Institutions:					
Institution:	DB	Country:	USA	Est. Assets Under Mgt:	100,000.00
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:	Gratitude America -		
Type of Entity:	<input checked="" type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input type="checkbox"/> Private Investment <input checked="" type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	USVI	Date of incorporation / registration:	4/25/2012
Volcker Status:	Estate or Charitable/Philanthropic	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter, B3 St. Thomas 00802	U.S. TIN/EIN:	66-0789697
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.: 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary. The signors on this account are Jeffrey Epstein and Darren Indyke			
Please indicate how ownership of the legal entity is reflected: 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary			
<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): 501(c)3 foundation. Jeffrey Epstein is president, Darren Indyke is treasurer and Erika Kellerhals is Secretary. The signors on this account are Jeffrey Epstein and Darren Indyke			
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:	The foundation supports a broad range of efforts including, but not limited to, education, science, research, etc.		
Countries where business is transacted:	USA, USVI		
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?	
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 foundation is funded by Jeffrey Epstein. Please revert to his source of wealth for more details.	
Estimated gross receipts p.a.(\$):	500,000.00

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Estimated net profit p.a. (\$):	500,000.00				
Estimated investable assets (\$):	<\$1 MM				
Potential Amount to be invested with PWM (\$):	100,000.00				
Other Known Financial Institutions:					
Institution:	DB	Country:	USA	Est. Assets Under Mgt:	100,000.00
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:	Neptune, LLC - [REDACTED]		
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:	USA	Date of incorporation / registration:	12/21/2011
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook, Quarter B3 St, Thomas 00802	U.S. TIN/EIN:	[REDACTED]
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 LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Harry Beller, and Darren Indyke.			
Please indicate how ownership of the legal entity is reflected:			
<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):			
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:	This LLC was formed to hold the funds necessary to cover the costs and taxes associated with running Jeffrey Epstein's NYC home.		
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):	
This LLC is funded my contributions made by Jeffrey Epstein.	
Estimated gross receipts p.a.(\$):	1,000,000.00
Estimated net profit p.a. (\$):	1,000,000.00
Estimated investable assets (\$):	<\$1 MM
Potential Amount to be invested with PWM (\$):	

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Other Known Financial Institutions:				
Institution:	db	Country:	usa	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:	NES, LLC - [REDACTED]		
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:	USA	Date of incorporation / registration:	8/13/1998
Volcker Status:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter, B3 St, Thomas 00802 United States	U.S. TIN/EIN:	[REDACTED]
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 LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Darren Indyke and Harry Beller			
Please indicate how ownership of the legal entity is reflected: <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):			
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:	NES, LLC was formed to take care of the expenses associated with running one of Jeffrey Epstein's homes		
Countries where business is transacted:	USA, USVI		
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): All funds come from Jeffrey Epstein, who has been KYC'd previously	
Estimated gross receipts p.a.(\$):	1,000,000.00
Estimated net profit p.a. (\$):	500,000.00
Estimated investable assets (\$):	<\$1 MM
Potential Amount to be invested with PWM (\$):	
Other Known Financial Institutions:	
Institution:	DB
Country:	USA
Est. Assets Under Mgt:	

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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	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	Yoonsun Chung
(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 checked="" type="checkbox"/> Drivers License	<input checked="" 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 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 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: GRATITUDE AMERICA: No negative media No court cases			
DARREN INDYKE: Negative media mentions his name as an owner of a building. The negative media is not about him individually but about the others mentioned. No court cases			
D. JEFFREY EPSTEIN: Previously approved KYC #:01082293 & 01121718 All negative media pertains to court cases which have been previously approved in the above mentioned KYCs. Court Cases have been closed			
Neptune LLC: The court case in the research is a false positive and does not refer to the entity that is part of this KYC. The entity in the court case refers to a NYC entity owned by Salvatore Judice, where as the entity in this KYC is a USVI entity solely owned by Mr. Epstein. Neptune LLC owned by Jeffrey Epstein donated to Gary King's campaign for \$5,200 in 2006. Mr. Epstein is already noted as a PEP			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input checked="" type="checkbox"/> Yes <input 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			

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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

M. Case Comments		
Created By	Date	Comments
Dimitra Manley	8/16/117 3:06 PM	<p>This KYC serves as a high risk update for the below listed clients (together "acountholders") –</p> <ol style="list-style-type: none"> 1. Gratitude America, Ltd 2. Neptune, LLC 3. NES, LLC <p>Below are the reasons why we are comfortable with approving this KYC:</p> <ul style="list-style-type: none"> • 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. • There are a few risk factors associated with the acountholders – SOW: The UBOs (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which manages clients assets. SOW verification was obtained. Negative Media & 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. • Our review did not identify any red flags and thus there was no need to escalate this case further. • We performed due diligence searches on all parties and did not find the names searched to be on any sanctions lists
Cynthia Rodriguez	8/16/117 1:32 PM	Client confirmed on a call that there were no changes to these accounts on 7/26/2017.
Cynthia Rodriguez	7/13/117 10:05 AM	Haze Trust and Butterfly trust have been removed from this remediation kyc and added to kyc case 01804531 as beneficiary information is still pending.
Cynthia Rodriguez	7/10/117 11:59 AM	Source of Wealth for Jeffrey Epstein is attached.

ONSHORE APPROVALS			
Client Facing Professional (CFP):	stewart oldfield	(Signature) stewart oldfield	7/5/2017
Office Director/Business Head:	Andrew F Gallivan	(Signature) Andrew F Gallivan	7/6/2017
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	D. Manley obo Kshitij Golani	(Signature) D. Manley obo Kshitij Golani	8/16/2017
	Yoonsun Chung	(Signature) Yoonsun Chung	8/16/2017

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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