DB PWM GLOBAL KYC/NCA: **PART A**

KYC Case # : **01804531**

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:00000483290	Booking Center: New York
Relationship Manager:	Stewart Oldfield	

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: ***This KYC is a periodic review for high risk remediation*** Original KYC1121946	

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.): 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?	☐ 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 Haze Trust - Deposit-███████	2/27/2017
2	☑	Butterfly Trust - Deposit-███████	1/24/2014
3	☑	The 2007 Jeffrey E. Epstein Insurance Trust #3 - Deposit-███████	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 Haze Trust - Deposit	Acct. Number *(if available)*:	■■■■
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)? this is a deposit account to hold cash for the 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):

☐ 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)?: collecting interest on current balance…no inflows/outflows

What is the expected volume of assets and currency for the account approx. 90 days after opening?	21,063,409.16	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	21,077711.01	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	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☐	☐	☐		☐	☐	☐	OTH:beneficiary of The Haze Trust;
2	☑	☑	The Haze Trust	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
3	☐	☐	Darren Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;

2. Account Ownership Summary		
Account Name:	Butterfly Trust - Deposit	Acct. Number *(if available)*: ▇
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)? This is a deposit account to hold funds for the 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):
- ☐ 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)?: no inflows/outflows

What is the expected volume of assets and currency for the account approx. 90 days after opening?	2.99	Currency	usd
What is the expected volume of assets and currency for the account approx. one year after opening?	2.99	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	☐	☐	Karyna Shuliak	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	beneficiary of the butterfly trust;
2	☐	☐	▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	beneficiary of the butterfly trust;
3	☐	☐	Richard D. Kahn	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	beneficiary of the butterfly trust;
4	☐	☐	▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	beneficiary of the butterfly trust;
5	☐	☐	Darren Indyke	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	beneficiary of the butterfly trust;
6	☐	☐	▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
7	☐	☐	▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
8	☐	☐	▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
9															

#			Name												Role
	☐	☐	████	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
10	☐	☐	████	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
11	☐	☐	████	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
12	☐	☐	████	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of Butterfly Trust;
13	☑	☑	Butterfly Trust	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
14	☐	☐	Erika Kellerhals	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;
15	☐	☐	Harry Beller	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;
16	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☐	☐	☐		☐	☐	☐	grantor;

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

2. Account Ownership Summary		

Account Name:	The 2007 Jeffrey E. Epstein Insurance Trust #3 - Deposit	Acct. Number (if available): ▇▇▇▇
Account Manager:	stew oldfield	

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):

☐ 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)?: no inflows/outflows

What is the expected volume of assets and currency for the account approx. 90 days after opening?	259.05	Currency	usd
What is the expected volume of assets and currency for the account approx. one year after opening?	259.05	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	☐	☐	▇▇▇	☐	☐	☐	☐	☐	☐	☐		☐	☐	☐	Beneficiary of The 2007 Jeffrey E. Epstein Insurance Trust #3;
2	☑	☑	The 2007 Jeffrey E. Epstein Insurance Trust #3	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
3	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☐	☐	☐		☐	☐	☐	grantor;
4	☐	☐	Darren Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;
5	☐	☐	Richard D. Kahn	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:;

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

3A. Individual Details (for all parties)			
Individual's Name:	███ - ███	Date of Birth:	███
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	███ ███	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	███
Current Employer:		Position/Title/Rank:	
Address of employer:			

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037440

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

DB-SDNY-0000264

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

EFTA_00148052

EFTA01282149

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

3A. Individual Details (for all parties)

Individual's Name:	Karyna Shuliak - ██████	Date of Birth:	██████
Country of Residence:	USA	Country of Citizenship:	Slovakia
Address of primary residence:	████████████████████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	JSC Interiors LLC	Tax ID / SSN:	██████
Current Employer:	JSC Interiors LLC	Position/Title/Rank:	Interior Decorator
Address of employer:	575 Lexington Ave 14th Fl New York NY United States 10022		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ 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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037441

DB-SDNY-0000265

EFTA_00148053

EFTA01282150

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

3A. Individual Details (for all parties)

Individual's Name:	██████ - ██████	Date of Birth:	██████
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	███████████████████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	homemaker	Tax ID / SSN:	██████
Current Employer:	NES, LLC	Position/Title/Rank:	
Address of employer:	6100 Red Hook Quarter, B3 New York United States 00802		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ 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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)

Individual's Name:	██████ - ██████	Date of Birth:	██████
Country of Residence:	USA	Country of Citizenship:	Russia
Address of primary residence:	████████████████ ████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	██████
Current Employer:		Position/Title/Rank:	
Address of employer:			

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)

Individual's Name:	Susan Mary Hamblin - ███████	Date of Birth:	██████
Country of Residence:	USA	Country of Citizenship:	United Kingdom
Address of primary residence:	████████████████ ███████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	██████
Current Employer:		Position/Title/Rank:	
Address of employer:			

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037448

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

DB-SDNY-0000272

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

EFTA_00148060

EFTA01282157

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

3A. Individual Details (for all parties)			
Individual's Name:	███████████████ - ██████	Date of Birth:	██████
Country of Residence:	Italy	Country of Citizenship:	Switzerland
Address of primary residence:	████████████████████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	████████
Current Employer:		Position/Title/Rank:	
Address of employer:			
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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)			
Individual's Name:	██████████████	Date of Birth:	██████
Country of Residence:	Russia	Country of Citizenship:	Russia
Address of primary residence:	███████████████████████	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	██████
Current Employer:		Position/Title/Rank:	
Address of employer:			
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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037452

DB-SDNY-0000276

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

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

EFTA_00148064

EFTA01282161

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

3A. Individual Details (for all parties)

Individual's Name:	███████ - ███████	Date of Birth:	███████
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	███████████████████ ███	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:		Tax ID / SSN:	███████
Current Employer:		Position/Title/Rank:	
Address of employer:			

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

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

3A. Individual Details (for all parties)

Individual's Name:	███████ - ███████		Date of Birth:	███████
Country of Residence:	USA		Country of Citizenship:	USA
Address of primary residence:	████████████████████s		Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:			Tax ID / SSN:	███████
Current Employer:			Position/Title/Rank:	
Address of employer:				

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037456

DB-SDNY-0000280

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

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

EFTA_00148068

EFTA01282165

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

3A. Individual Details (for all parties)

Individual's Name:	▮▮▮▮▮ - ▮▮▮▮		Date of Birth:	▮▮▮▮
Country of Residence:	USA		Country of Citizenship:	Russia
Address of primary residence:	▮▮▮▮▮▮▮▮▮▮▮▮▮▮		Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:			Tax ID / SSN:	▮▮▮▮
Current Employer:			Position/Title/Rank:	
Address of employer:				

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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)

Individual's Name:	Darren Indyke - ███████	Date of Birth:	██████
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	██████████████████	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:	Southern Financial LLC	Position/Title/Rank:	
Address of employer:	6100 Red Hook Quarter B3 St Thomas 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	☐	☐	☑		9/6/2013
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	
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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

SDNY_GM_00037460

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

DB-SDNY-0000284

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

EFTA_00148072

EFTA01282169

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:	▓▓▓▓
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	▓▓▓▓▓▓▓▓▓▓	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 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-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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)

Individual's Name:	Erika Kellerhals - 00000499664	Date of Birth:	▇▇▇▇
Country of Residence:	USA	Country of Citizenship:	USA
Address of primary residence:	▇▇▇▇▇▇▇▇▇▇▇▇	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Attorney	Tax ID / SSN:	▇▇▇▇
Current Employer:	Kellerhals Ferguson Kroblin PLLC	Position/Title/Rank:	
Address of employer:	9100 Port of Sale Mall, Ste 15 St. Thomas VI United States 00802		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ 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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

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

3A. Individual Details (for all parties)

Individual's Name:	Jeffrey E. Epstein - 00000483289	Date of Birth:	▇▇▇▇▇
Country of Residence:	USVI	Country of Citizenship:	USA
Address of primary residence:	Litte Saint James Saint Thomas 00802 United States	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 United States 00802		

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities	☐ Yes ☑ No	
Is the individual a Politically Exposed Person (PEP)?(if Yes, describe) connection with Prince Andrew and Bill Clinton	☑ 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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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.) Jeffrey Edward Epstein (born January 20, 1953) 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.
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.
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.
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.
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 INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)

Individual's Name:	Richard D. Kahn - 00000486407		Date of Birth:	▮▮▮▮
Country of Residence:	USA		Country of Citizenship:	USA
Address of primary residence:	▮▮▮▮▮▮▮▮▮▮▮▮		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 United States 10022			

Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities		☐ 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:
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	☐ 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.)

Estimated Annual Income($):		Estimated amount of investable assets($):	
Estimated Net Worth($):		Amount of assets planned to invest with PWM($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)

Legal Entity Name:	The Haze Trust - 00000486428

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:	United States Virgin Islands	Date of incorporation / registration:	2/9/1999
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 United States	U.S. TIN/EIN:	▮▮▮▮▮

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:
Jeffrey Epstein: Grantor/Beneficiary
Darren Indyke: Trustee

Please indicate how ownership of the legal entity is reflected: Jeffrey Epstein: Grantor
Darren Indyke: 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/Beneficiary
Darren Indyke: 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:	The trust was initially funded with $100. The trust makes and holds investements and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.
Countries where business is transacted:	USA, USVI
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 trust was initially funded with $100 from Jeffrey Epstein. The trust makes and holds investements and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.

Estimated gross receipts p.a.($):	300,000.00
Estimated net profit p.a. ($):	200,000.00
Estimated investable assets ($):	$20 MM - 50 MM
Potential Amount to be invested with PWM ($):	200,000.00

Other Known Financial Institutions:

Institution:	DB	Country:	USA	Est. Assets Under Mgt:	23,000,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Legal Entity Name:	Butterfly Trust - 00000486426		
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:	12/27/2006
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 United States	U.S. TIN/EIN:	███████

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:

This is an irrevocable trust set up by Jeffrey Epstein as the grantor. The the beneficiaries for the trust are being updated by the current trustees. The trustees are Harry Beller and Erika Kellerhals. The beneficiaries are:

███████

Darren Indyke

███████

Karyna Shuliak

███████

Richard Kahn

███████

Attached are the original trust agreement and the addition/deletion of beneficiary instrument to support this change. According to the original trust agreement, the trustees have the right during the lifetime of the Grantor to delete or add beneficiaries under Article 3 of the agreement.

Please indicate how ownership of the legal entity is reflected:

☐ 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 ☐ No ☑

Describe Nature of Entity's Primary Business and Investment Activities

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

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):
Trust account with Jeffrey Epstein as Grantor. Initial $100 given to the account to fund. The funds for this trust account come from investments made by Jeffrey Epstein. His wealth profile is filled out.

Estimated gross receipts p.a.($):	4,500,000.00
Estimated net profit p.a. ($):	4,500,000.00
Estimated investable assets ($):	$5 MM - 10 MM
Potential Amount to be invested with PWM ($):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

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:	Determination Required	Volcker Flag:	No
Address (city, street, post code):	575 Lexington Ave, 4th Fl New York NY 10022 United States	U.S. TIN/EIN:	▓▓▓▓▓▓

Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:
Jeffrey Epstein: Grantor
Darren Indyke: Trustee
Richard Kahn: Trustee

Please indicate how ownership of the legal entity is reflected:

☐ 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 ☐ 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 ($):	<$1 MM			
Potential Amount to be invested with PWM ($):				
Other Known Financial Institutions:				
Institution:		Country:		Est. Assets Under Mgt:
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	Yoonsun Chung

(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: BUTTERFLY TRUST:
Negative Media: All negative media pertains to a company called the Butterfly Trust in Europe. This is not our client. Our client is an actual trust created by a Grantor and not a company.
No court cases

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

RDC alerts for Richard Kahn came up but they were all false positives as the age and locations of the alerts did not match the age and address on file.

D. HARRY BELLER:
No negative media
Court case lists him as a defendant for being chief of medical staff for Jackson Memorial Hospital. The court concluded that the plaintiff had no cognizable claim that his civil rights has been violated, but refused to dismiss his complaint as to his antitrust claim Defendants' motion was thus granted in part and denied in part. The defendants listed in this case have not committed any illegal acts of conduct in any way. The case was settled on 6/30/1987.

ERIKA KELLERHALS:
No negative media
Erika is an attorney and listed as legal counsel for several court case. Court case to appeal from a decision of the bankruptcy court. Appellee trustee moved to dismiss the appeal for failure to prosecute under Fed R. of the six Poulis factors, five weighed in favor of dismissal and it was granted. Another court case for dissolving of marriage and property settlement. The case was concluded.

Civil court case 1:15cv7433 Virginia Giuffre v Ghislaine Maxwell for assault, libel & slander. ███████ was listed as a miscellaneous party but the case was closed in May 2017. She was not listed as a plaintiff nor a defendant, and was not charged with anything. She does not pose a risk to the bank.

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. 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)? ☐ Yes ☑ No

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**
Cynthia Rodriguez	9/6/117 12:05 AM	recent research and google searches for Erika Kellerhals can be found in approved case 01790655.
Cynthia Rodriguez	9/6/117 12:09 AM	ID for Erika Kellerhals can be found in approved case 01344537

Kshitij Golani	9/6/117 3:22 PM	This KYC serves as a high risk update for the below listed clients (together "accountholders") –
		1. The Haze Trust
		2. Butterfly Trust
		3. The 2007 Jeffrey E. Epstein Insurance Trust #3
		Below are the reasons why we are comfortable with approving this KYC:
		• 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 accountholders, their purpose, the purpose of the accounts and expected transaction activity.
		• There are a few risk factors associated with the accountholders –
		   SOW: The UBO (Jeffrey Epstein) is the founder of Southern Trust Company Inc, which manages client's 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	8/24/117 5:25 PM	No material changes confirmed by the client via phone on 08/22/2017. No GBSA forms required as determination is already noted on the system. Beneficiaries are all added as parties with DOB, SSN/Passport #s, address & IDs

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Chuck Walker	(Signature) Chuck Walker	8/25/2017
Office Director/Business Head:	Steven Mattus	(Signature) Steven Mattus	8/29/2017
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Kshitij Golani Yoonsun Chung	(Signature) Kshitij Golani Yoonsun Chung	9/6/2017 9/6/2017

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)	

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 /