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

KYC Case # : **01977694** 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: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: *** 2018 Periodic Review - HR Overdue KYC *** Last Approved KYC # Plan D LLC - 1790820; NES LLC - 1790739; The 2007 Jeffrey E Epstein Insurance Trust & The Haze Trust - 1804531. IDs for Darren Indyke & Richard Kahn can be found in "Repository" of GCIS # 486405.		
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 this relationship..		
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	☑	Nes LLC - 42953758 - DDA-42953758	11/8/2013
2	☑	Plan D LLC - 42953467 - DDA-42953467	10/18/2013
3	☑	The Haze Trust - 77000949 - DDA-77000949	2/21/2017
4	☑	The Haze Trust - N4G024943 - DBSI-N4G024943	9/23/2013
5	☑	The Haze trust - 42967287 - DDA-42967287	2/27/2017

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 K. 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:	Nes LLC - 42953758 - DDA	Acct. Number *(if available)*:	42953758
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 simple checking account to take care of the expenses associated with running Jeffrey Epstein's NY home

Indicate from where the assets are expected to arrive?

- ☑ DB Group: Same Booking Center (indicate account number): Existing
- ☐ 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)?: ~ 10-20/month; $30 - $20K

What is the expected volume of assets and currency for the account approx. 90 days after opening?	252,347.66	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	252,347.66	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	☑	☑	NES, LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☐	Darren K. Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Auth Signor;
3	☐	☐	Harry Beller	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Auth Signor;
4	☐	☑	Jeffrey E. Epstein	☐	☐	☐	☑	☑	☐	☐	100	☐	☐	☐	Beneficiary;Sole Member;Primary Decision Maker;Sole Owner;

2. Account Ownership Summary			
Account Name:	Plan D LLC - 42953467 - DDA	Acct. Number *(if available)*:	42953467
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 simple checking account for pay for costs associated for Jeffrey Epstein's airplanes

Indicate from where the assets are expected to arrive?

☑ DB Group: Same Booking Center (indicate account number): Existing
☐ 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)?: ~ 1-5/month; $100 - $500K

What is the expected volume of assets and currency for the account approx. 90 days after opening?	790,453.14	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	790,453.14	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	☑	☑	Plan D, LLC	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Jeffrey E. Epstein	☐	☐	☐	☑	☑	☐	☐		☐	☐	☐	Beneficiary;Sole Member;Primary Decision Maker;
3	☐	☐	Darren K. Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Auth Signor;
4	☐	☐	Harry Beller	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Auth Signor;
5	☐	☐	Lawrence Paul Visoski Jr	☐	☐	☐	☐	☐	☐	☐		☑	☐	☐	Manager;

2. Account Ownership Summary			
Account Name:	The Haze Trust - 77000949 - DDA	Acct. Number *(if available)*:	77000949
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 an interest bearing checking account for costs (taxes, etc.) related to this Trust

Indicate from where the assets are expected to arrive?

- ☑ DB Group: Same Booking Center (indicate account number): Existing
- ☐ 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)?: ~ 1-3/month; $10K - $10MM

What is the expected volume of assets and currency for the account approx. 90 days after opening?	7,707,707.25	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	7,707,707.25	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ No		

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	☑	☑	The Haze Trust	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☐	Darren K. Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:Trustee;Auth Signor as Trustee;
3	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☑	☐	☐		☐	☐	☐	Settlor;Beneficiary; Trustee:Trustee;Auth Signor as Trustee & Primary Decision Maker;

2. Account Ownership Summary			
Account Name:	The Haze Trust - N4G024943 - DBSI	Acct. Number *(if available)*:	N4G024943
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 brokerage account for the trust to hold and make investments in marketable securities is the purpose of the account.

Indicate from where the assets are expected to arrive?

☑ DB Group: Same Booking Center (indicate account number): Existing

☐ 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)?: ~ 3-10/month; $10 - $2MM

What is the expected volume of assets and currency for the account approx. 90 days after opening?	20,355,143.12	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	20,355,143.12	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ No		

Please list all parties related to the account.
For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	☑	☑	The Haze Trust	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☑	☐	☐		☐	☐	☐	Settlor;Beneficiary; Trustee:Trustee;Auth Signor as Trustee & Primary Decision Maker;
3	☐	☐	Darren K. Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:Trustee;Auth Signor as Trustee;
4	☐	☐	Paul Barrett	☐	☐	☐	☐	☐	☑	☐		☐	☐	☐	Paul has Limited Trading Authorization for Brokerage account;
5	☐	☐	Harry Beller	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	POA for Brokerage Account;
6	☐	☐	Jean Anne Brennan Wiebracht	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	POA for Brokerage Account;

2. Account Ownership Summary			
Account Name:	The Haze trust - 42967287 - DDA	Acct. Number *(if available)*:	42967287
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 simple checking account for costs (taxes, etc.) related to this Trust

Indicate from where the assets are expected to arrive?

☑ DB Group: Same Booking Center (indicate account number): Existing

☐ 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)?: There are regular transactions in The Haze brokerage account, which is where most of the activity is. The deposit account just holds cash to earn the interest. Wouldn't expect many transactions there.

What is the expected volume of assets and currency for the account approx. 90 days after opening?	2,503,667.84	Currency	USD
What is the expected volume of assets and currency for the account approx. one year after opening?	2,503,667.84	Currency	USD
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	☐ Yes ☑ No		

Please list all parties related to the account.

For each party:

- Check if a source of wealth description is required for the party.
- Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected).
- If none of the check boxes apply, describe the party's relation to the account in the "Other" column.
- Always describe the relationship between the parties in the last column.
- Please drill down to the ultimate/underlying Beneficial Owner(s).

	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Legal Representative	Grantor/Settlor	Founding Donor	Other (please describe other roles and/or indicate relationship between parties)
1	☑	☑	The Haze Trust	☑	☐	☐	☐	☐	☐	☐		☐	☐	☐	
2	☐	☑	Jeffrey E. Epstein	☐	☐	☑	☑	☑	☐	☐		☐	☐	☐	Settlor;Beneficiary; Trustee:Trustee;Auth Signor as Trustee & Primary Decision Maker;
3	☐	☐	Darren K. Indyke	☐	☐	☐	☐	☑	☐	☐		☐	☐	☐	Trustee:Trustee;Auth Signor as 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:	Jeffrey E. Epstein - 00000483289	Date of Birth:	1/20/1953
Country of Residence:	Virgin Islands, U.S.	Country of Citizenship:	United States
Address of primary residence:	Little Saint James Saint Thomas 00802 Virgin Islands, U.S.	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Self Empolyed	Tax ID / SSN:	[redacted]
Current Employer:	Southern Trust Company Inc	Position/Title/Rank:	President
Address of employer:	6100 Red Hook Quarter B3 St. Thomas Virgin Islands, U.S. 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)* N/A	☐ 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)* NA	☐ 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:
Stewart Oldfield	☑	☐	☐		6/28/2017
	☐	☐	☐		
	☐	☐	☐		

☐ 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?	United States
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions
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. 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($):	$500 MM +	Amount of assets planned to invest with PWM($):	2,300,000.00

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.): N/A

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 K. Indyke - [redacted]	Date of Birth:	[redacted]
Country of Residence:	United States	Country of Citizenship:	United States
Address of primary residence:	[redacted]	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Accountant	Tax ID / SSN:	[redacted]
Current Employer:	Southern Financial LLC	Position/Title/Rank:	Accountant
Address of employer:	6100 Red Hook Quarter B3 Livingston Virgin Islands, U.S. 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)* N/A		☐ Yes ☑ No	
To the best of your knowledge, is the individual related to an employee of the DB group?*(if Family or Friendship, describe)* N/A		☐ 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)* N/A		☐ 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:
Stewart Oldfield	☑	☐	☐		12/12/2016
	☐	☐	☐		
	☐	☐	☐		

☐ 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:	Harry Beller - [redacted]	Date of Birth:	[redacted]
Country of Residence:	United States	Country of Citizenship:	United States
Address of primary residence:	[redacted]	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Accountant	Tax ID / SSN:	[redacted]
Current Employer:	HBRK Associates, Inc	Position/Title/Rank:	Accountant
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)* N/A		☐ Yes ☑ No	
To the best of your knowledge, is the individual related to an employee of the DB group? *(if Family or Friendship, describe)* N/A		☐ 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)* NA		☐ 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:	Paul Barrett [redacted]	Date of Birth:	[redacted]
Country of Residence:	United States	Country of Citizenship:	United States
Address of primary residence:	[redacted]	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Investment Advisor	Tax ID / SSN:	[redacted]
Current Employer:	J.P. Morgan Securities LLC	Position/Title/Rank:	Investment Advisor
Address of employer:	277 Park Ave New York NY United States 10172		
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)* N/A		☐ Yes ☑ No	
To the best of your knowledge, is the individual related to an employee of the DB group?*(if Family or Friendship, describe)* N/A		☐ 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)* N/A		☐ 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:	Jean Anne Brennan Wiebracht - [redacted]	Date of Birth:	[redacted]
Country of Residence:	Virgin Islands, U.S.	Country of Citizenship:	Virgin Islands, U.S.
Address of primary residence:	[redacted]	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Finance	Tax ID / SSN:	[redacted]
Current Employer:	Southern Financial LLC	Position/Title/Rank:	Finance
Address of employer:	6100 Red Hook Quarter, B3 St, Thomas Virgin Islands, U.S. 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)* N/A	☐ Yes ☑ No
To the best of your knowledge, is the individual related to an employee of the DB group?*(if Family or Friendship, describe)* N/A	☐ 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)* N/A	☐ 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:	Lawrence Paul Visoski Jr -	Date of Birth:	[redacted]
Country of Residence:	United States	Country of Citizenship:	United States
Address of primary residence:	[redacted]	Has client resided outside of his/her country of nationality for 5 years or more?	☐ Yes ☑ No
Profession/Occupation:	Manager	Tax ID / SSN:	[redacted]
Current Employer:	Plan D LLC	Position/Title/Rank:	Manager
Address of employer:	6100 Red Hook, Quarter B3 St, Thomas Virgin Islands, U.S. 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)* N/A		☐ Yes ☑ No	
To the best of your knowledge, is the individual related to an employee of the DB group?*(if Family or Friendship, describe)* N/A		☐ 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)* N/A		☐ 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	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 Virgin Islands, U.S.	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.: This is a Revocable Trust. Jeffrey Epstein: Grantor/Trustee/Beneficiary Darren Indyke: Trustee			
Please indicate how ownership of the legal entity is reflected: Trust Agreement			
☐ 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/Trustee/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)?: N/A		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:	United States		
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?	United States				
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions				
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:		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:	Plan D, LLC - 00000487219		
Type of Entity:		Purpose of Entity:	

	☐ Foundation/Association ☐ Trust ☑ Company ☐ Estate ☐ Partnership		☑ Private Investment ☐ Philanthropic/Charitable ☐ Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Virgin Islands, U.S.	Date of incorporation / registration:	10/19/2012
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook, Quarter B3 St, Thomas 00802 Virgin Islands, U.S.	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. Sole member is Jeffrey Epstein. The signors on this account are Jeffrey Epstein, Harry Beller and Darren Indyke			
Please indicate how ownership of the legal entity is reflected: Operating Agreement			
☐ Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner *(if not the same persons)*: Single member LLC. Sole member is Jeffrey Epstein. The signors on this account are Jeffrey Epstein, Harry Beller and Darren Indyke Lawrence Paul Visoski Jr is the manager.			
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)?: N/A		Yes ☐ No ☑	

Describe Nature of Entity's Primary Business and Investment Activities

Nature of the business:	LLC created to hold funds to pay for costs associated with one of Jeffrey Epstein's planes. Personal airplanes are generally leased out to others when the owner is not using the plane.
Countries where business is transacted:	United States
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?	United States
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): LLC created to hold funds to pay for costs associated with one of Jeffrey Epstein's planes. Initial contribution of $1,000 from Jeffrey Epstein and all source of funds come from Jeffrey Epstein. An airplane is equipment. Personal airplanes are generally leased out to others when the owner is not using the plane.	
Estimated gross receipts p.a.($):	1,000,000.00
Estimated net profit p.a. ($):	500,000.00
Estimated investable assets ($):	<$1 MM
Potential Amount to be invested with PWM ($):	200,000.00

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:	NES, LLC - 00000487265		
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	Date of incorporation / registration:	8/13/1998
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter, B3 St, Thomas 00802 Virgin Islands, U.S.	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: Operating Agreement

☐ Special attention: Bearer Shares - Indicate where shares are custodied:

Describe the chain from the direct owner of the entity to the ultimate beneficial owner *(if not the same persons)*: Single member LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Darren Indyke and Harry Beller

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)?: N/A	Yes ☐ No ☑

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:	United States
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?	United States
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions

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 ($):	<$1 MM
Potential Amount to be invested with PWM ($):	150,000.00

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	SOUTHERN FINANCIAL RELATIONSHIP					
Risk Rating Comments:	The Haze-Overall-HIGH,Entity-HIGH,Industry-HIGH,Country-MEDIUM,Product-HIGH.The 2007 Jeffrey-Overall-HIGH,Entity-HIGH,Industry-HIGH,Country-MEDIUM,Product-HIGH.Plan D & NES LLC- Overall-HIGH,Entity-MEDIUM,Industry-HIGH,Country-MEDIUM,Product-HIGH.					
Booking Center	☑ NY	☐ NY/Offshore	☐ Offshore	☐ Moderate Risk	☑ High Risk	
						(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

D. Please summarize any negative results from the database searches indicated above: Plan D:
- No negative media
- No court cases

The Haze Trust:
- No negative media
- No court cases

The 2007 Jeffrey E. Epstein Insurance Trust #3:
- No negative media
- No court cases

NES LLC:
- No negative media,
- Court case was filed way back in 4/5/2005 which pertains to NES LLC that is involved in doing business as National Educational Service and the status of the case stands closed. This doesnot pertain to our entity as our entity is not into educational service.

Harry Beller:
- No negative media
- Harry Beller is the plaintiff in the court case, also it has been disposed.

Jeffrey Edward Epstein:
- Adverse results in Google relates to Jeffrey's Sex offence in the past which are cleared already. Attached clearances in the case
- Negative media relates to the sex offence in the past which are already cleared. (KYC # - 01790655)
- Court cases relates to Jeffrey's sex offence in the past which is already cleared, another (Gerber Et Al V. The Financial Trust Company Et Al) is a recent ongoing civil lawsuit pertaining to fraud which has been dismissed (attached document), but part of normal business operations for this client. And in one of the case he's neither defendant nor plaintiff. He's just named as a respondent and the case is immaterial in nature
- Criminal Filings relates to sex offence which is already cleared in the past
- RDC alert found - Sex offences in the past which has been cleared - Clearance attached

Darren Indyke:
- Negative news in Google relates to Jeffrey Epstein's Foundation and are not material in nature.
- Court case mentioned in Google search relates to Jeffrey Epstein's sex offence in the past which has been cleared already. Darren is just an attorney for Jeffrey in the case.
- Fircosoft alert has been cleared by AML Compliance. Clearance attached.

Richard Kahn:
- No negative media
- Court case was dismissed and he was not barred from NYSE Arca and was cleared in the previous KYCs. Attached clearances
- RDC alert found - realates to violation of NYSE Arca Equities Rule - Clearance attached.

[redacted]:
- No negative media
- No court cases

Paul S Barrett :

- No negative media
- No court cases
- RDC alert found - False positives, does not pertain to our client. Clearance attached.

Jean Anne Brennan Wiebracht:
- No negative media
- No court cases

Lawrence Paul Visoski Jr:
- No negative media
- No court cases

Southern Trust Company Inc:
- No negative media
- No court cases

The Financial Trust Company:
- Negative news in research is false positive and immaterial in nature. The hit is on IRA Financial Trust Company and not our SOW entity The Financial Trust Company.
- Court case pertains to First Financial Trust Company and not our SOW entity The Financial Trust Company

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**
Alka Babu	11/5/118 4:18 AM	Darren Indyke on 10/22/18 confirmed that there are no material charges.
Yoonsun Chung	11/16/118 1:32 PM	RM Confirmed that the clients will be closing the accounts before the end of the year. Case will be closed. 11/16/18
Dimitra Manley	11/19/118 11:42 AM	This KYC serves as Periodic Review for the following existing clients: (1) Nes LLC (2) Plan D LLC (3) The Haze Trust Risk factors include: • Source of Wealth (SOW) Industry: Financial Management (managing client assets) • PEP/RCA: Jeffrey Epstein, UBO & SOW, is considered an RCA based on his close relationship with Bill Clinton (Former US President) and Prince Andrew (British Royal Family) • Media: Negative media related to Jeffrey Epstein has been previously reviewed and escalated for reputational risk concerns. Evidence of prior approval to proceed with the relationship is attached to this case, including a stipulation to review further if new media is identified. Accordingly, approval from the Divisional Control Officer is attached to this KYC in regards to a recently filed (and dismissed) court case. (Please see clearances for more details) We are comfortable signing-off on this KYC for the following reasons: • Information and supporting documents required by our AML Policy were provided and reviewed. As a result, we have a reasonable understanding of the purpose of the account and expected transaction activity. • The source of wealth was sufficiently detailed and appears plausible. • We performed due diligence searches on all parties and did not find the names searched to be on any sanctions lists.
Yoonsun Chung	11/16/118 4:45 PM	The only account closing is the insurance trust,
Alka Babu	8/24/118 5:48 AM	No material changes confirmation "email" attached in the case

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Bradley Gillin	(Signature) Bradley Gillin	10/5/2018
Office Director/Business Head:	Andrew F Gallivan	(Signature) Andrew F Gallivan	10/9/2018
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Dimitra Manley	(Signature) Dimitra Manley	11/19/2018

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