

Client File Review

Client Name ASW Holdings

Salesperson Name Smith, Tad

SPN [REDACTED]

Custody with MGT? Yes No
Do we have Custody Access? Yes No
Statement Reviewed? Yes No If yes, for month ending: 9/30/99

• **Account Type and Documents:** Primary Docs: Morgan / Asset

<u>Individual/Joint</u>	<u>Partnership**</u>	<u>Corp.**</u>
<input type="checkbox"/> W-8 / W-9	<input type="checkbox"/> W-8 / W-9	<input checked="" type="checkbox"/> W-8 / W-9
	<input type="checkbox"/> Part. Agreement	<input checked="" type="checkbox"/> Corp. Resolution
<u>Trust</u>	<u>RIA</u>	<u>Other (Please indicate)</u>
<input type="checkbox"/> W-8 / W-9	<input type="checkbox"/> Blanket letter	<input type="checkbox"/> 407 Letter
<input type="checkbox"/> Trust Agreement	<input type="checkbox"/> Auth. List Traders	<input type="checkbox"/> FX New Acct Form
		<input type="checkbox"/> Custody
		<input type="checkbox"/> Prime Broker Agmt
		<input type="checkbox"/> Other:

**Authorized list of traders required if not listed in Corp. Resolution or the Partnership Agreement

<input type="checkbox"/> EM Risk Disclosure	<input type="checkbox"/> Margin Agreement	<input type="checkbox"/> Trading Authorization
<input type="checkbox"/> Options Agreement	<input type="checkbox"/> Options New Acct. Form	<input type="checkbox"/> OTC Risk Disclosure
<input type="checkbox"/> Derivative Report		

If approved for options, please list trading strategies approved: None

1: Covered Writing
 2: Covered Writing & Buying Options
 3: Covered Writing, Buying Options, & Spreading
 NO LEVEL 4
 5: Covered Writing, Buying Options, Spreading, & Uncovered Writing
 6: Covered Writing, Buying Options, Spreading, Uncovered Writing, Straddles, & Combinations

• Account Allocation and Activity:

Market Value: 449,116.116 Allocation: 100% Cash/Short Term
 Margin Debit: _____ (as of 9/30/99) _____ % Fixed Income
 Aprox. Revenues _____ % Convertibles
 Last 12 Months: \$158,405 10/1/98 - 9/30/99 _____ % Equity/Stock
 Type of Activity: cash; Account settling entirely in _____ % Other

• Profile: (Verify: Person Authorized to trade relative to beneficial owner, Client Age versus speculative securities, Background Information, Income, Net Worth, Employer, Investment Objective versus portfolio)

Annual Income: 0 Age: _____
 Total Net Worth: 4,000,000.000 Occupation/Business: _____
 Liquid Net Worth: 400,000.000 Trading Authority: Jeffrey Epstein
 Investment Objectives: CA CI CP
 Rank: G I T L Speculation: Yes / No
 Risk Tolerance: Aggressive / Moderate / Conservative
 Profile requires update? Yes / No PRISM Information Matches: Yes / No

• Follow-up Required:

Missing Documents (Please list): _____
 Salesperson Follow-up and Received Copy: Date: _____
 ACT Follow-up Date: 10/1/99

SDNY_GM_02775076

Confidential Treatment Requested by JPMorgan Chase

JPM-SDNY-00065519

SUBJECT TO PROTECTIVE ORDER PARAGRAPHS 7, 8, 9, 10, 15, and 17