

A. Type of Photo ID Provided

A. U.S. Drivers License; Passport

If Other, Type of
Photo ID Provided**B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached**

B. Yes

C. Please indicate the results of the database searches performed

RDC searches complete	Yes - Negative Results Found	PCR checks complete	Yes - Negative Results Found
OFAC checks complete	Yes - No Negative Results Found	BIS searches complete	Yes - No Negative Results Found
Denial Orders checks complete	Yes - No Negative Results Found	Martindale-Hubbell searched	Not Applicable

D. Please summarize any negative results from the database searches indicated above

D. DARREN INDYKE:
Approved in KYC [REDACTED]

HARRY BELLER:
Approved in KYC [REDACTED]

JEANNE BRENNAN:
Jeanne was previously approved in KYC # [REDACTED]

JEFFREY EPSTEIN:
RDC Alert #1 -- Cleared & APPROVED by Chip Packard, AML Compliance, and Pat Harris
PCR Alert #1/2 -- Not our client
All Cases Closed

SOUTHERN FINANCIAL LLC:
No negative media
No court cases

SOUTHERN TRUST INC:
No negative media
Court Case -- Not our client.

FINANCIAL INFOMATICS INC:
No negative media
No court cases

J. Epstein & Co.
All Negative Media is our client. He has been cleared of posing a reputational risk as shown by the AML Clearance attached
Court Cases have been closed

FINANCIAL TRUST & CO
RDC/PCR alert is associated with Southern Financial, the company it merged into. This alert has been cleared by Compliance and is attached
Court Cases are closed

E. Has the client or related party ever been convicted of a criminal offense?

E. Yes