

**USA CDD**

**US Primary Business Function**

Please select the US Primary Business Function Private investment vehicle

**Qualified Institutional Buyer**

Is the client a Qualified Institutional Buyer ? No

**UBO Requirements**

Is the pension fund ERISA qualified ?If it is ERISA qualified then there are no UBO requirements No

Is the entity a foreign bank or a level III FFI ? No

**USA Patriot Act Requirements**

Is the client a non-US bank ? No

Has the Disclosure Document be sent to client Yes

Date Sent 20141126

Addressee Physical CIP Mail sent

Has the Disclosure Document be sent to client.\*\*This is only applicable to foreign banks No

**RDC**

Has RDC screening been done ? Yes

RDC Check Status Not Alerted

Do you want to perform RDC for additional parties ? Yes

Related Party RDC: ▼

| RDC Check Status | Legal Name             | Relationship to CP        |
|------------------|------------------------|---------------------------|
| Alerted, Non-AFC | Jeffrey Edward Epstein | Ultimate Beneficial Owner |

RDCAlertList ▼

| RDCEventCategories                          | RDCCheckStatus   | Alert ID   | EventCategory | RDCLegalName           | SubCategory | if true, page is not involved in database operations | PortfolioFlag | FirmNo     | RDCSubEventCategories                   |
|---|------------------|------------|---------------|------------------------|-------------|--|---------------|------------|---|
| AST,CON,PRJ,FRD,IMP,IPR,OBS,ORG,SEX,TAX,TFT | Alerted, Non-AFC | [REDACTED] |               | Jeffrey Edward Epstein |             | true   | N             | [REDACTED] | ACC,APL,CHG,CVT,IND,PLE,PRB,SJT,SET,TRL |