

Ticket#		Account#	Initiated Date	07/13/2013 07:22 AM
Client Name	DARREN INDYKE	Account Title	Initiator	JUSTIN D NELSON
ECI		Account Type	Initiating Team	PB FRONT OFFICE
LOB	PB			

Verify & Confirm for DARREN INDYKE	
Final Risk Rating	High
Initial Risk Rating	Standard
GCS Report Requested	Full
Presence of Potential High Risk Indicators	No
Reason for Adjustment	Attorney of a convicted felon
Comments	Accounts are to be monitored while relationship in in process of exit.
Summary of Risk Attributes	Darren is the attorney of convicted felon, Jeffrey Epstein.
Please summarize any material changes which have occurred with the client within the past 12 months:	Jeffrey Epstein is a longstanding client. He has dissolved his family office (New York Strategy Group) and has split it in two: HBRK Associates Inc. and Darren K Indyke PLLC. HBRK provides consulting services to Mr. Epstein.

Risk Updated History				
Creation Date	Entered by	Updated Risk	Previous Risk	Comment

GCS Grid		
Search Type	Security Service Details	Further Review Required
Company Information	No records found.	No
Corporate Records	No records found.	No
Other Database Searches (RDC/MIS/Factiva)	No records found.	No
Internal Database Search (CSSS/FPS)	No records found.	No
State Court Searches	No records found.	No
Federal Court Searches	No records found.	No
Personal Particulars	Information confirmed; details included in the attachment.	No
Publications	Nothing derogatory found.	No
Regulatory Sanctions	No records found.	No
OFAC/Control List Search	A search of OFAC did not reveal any matches.	No
Negative or Inconsistent Information		No

GCS Red Dot	
Has this been identified as Red Dot KYC?	No
Negative Information Found	No

Banker Attestation Details	
As the client sponsor, I understand that I am primarily responsible for protecting the firm's reputation from inappropriate business relationships, as well as from fraud and money laundering. By approving this KYC, I am sponsoring this client as to their character and reputation and from a legal/regulatory standpoint.	Yes
Please state your rationale for conducting business with this client	Senior management (John Duffy) has communicated to the client a request to move the relationship and accounts from JP Morgan to another institution. This is now in execution mode and client is moving his business. For the time being - the accounts sit with the Region Head for Tri State.
Comments	

Primary Information			
Client Type	Individual	Generation	
Client Status	Client	Active Indicator	Yes
Front Office Restricted?	Normal	Marital Status	Married
Confidential Names?	No		
Country of Primary Domicile	UNITED STATES	Primary Domicile State	New Jersey
Prefix/Title		Insider Code (Reg. O)	