

Ticket#	105258611	Account#	Initiated Date	07/13/2013 07:22 AM
Client Name	THE HAZE TRUST	Account Title	Initiator	JUSTIN D NELSON
ECI	0221477308	Account Type	Initiating Team	PB FRONT OFFICE
LOB	PB			

Verify & Confirm for THE HAZE TRUST	
Final Risk Rating	High
Initial Risk Rating	High
GCS Report Requested	Full
Presence of Potential High Risk Indicators	No
Comments	
Summary of Risk Attributes	Convicted Felon - Several newspaper articles were found that detail the indictment of Jeffrey Epstein in Florida on felony charges of soliciting underage prostitutes. Jeffrey Epstein served 13 months in jail. Numerous articles detail various law enforcement agencies investigating Jeffrey Epstein for allegedly participating in child trafficking and molesting underage girls. Jeffrey Epstein is required to register as a sex offender. Jeffrey Epstein has settled a dozen civil lawsuits out of court from his victims regarding solicitation for an undisclosed amount.
Please summarize any material changes which have occurred with the client within the past 12 months:	No other changes made.

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)	Internal database search revealed prior GS&I research for Jeffrey Edward Epstein and the derogatory information was reported: Several newspaper articles were found that detail the indictment of Jeffrey Epstein in Florida on felony charges of soliciting underage prostitutes. Jeffrey Epstein served 13 months in jail. Numerous articles detail various law enforcement agencies investigating Jeffrey Epstein for allegedly participating in child trafficking and molesting underage girls. Jeffrey Epstein is required to register as a sex offender. Jeffrey Epstein has settled a dozen civil lawsuits out of court from his victims regarding solicitation for an undisclosed amount.	Yes
State Court Searches	No records found.	No
Federal Court Searches	No records found.	No
Personal Particulars	No records found.	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		Yes

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

Banker Attestation Details	
You are about to approve a high risk client. Have you included sufficient information to satisfy High Risk Enhanced Due Diligence regulatory requirements (Section 312 of the USA Patriot Act)?	Yes
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