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|-------------|-------------|---------------|-----------------|---------------------|
| Ticket# | 104749084 | Account# | Initiated Date | 03/26/2013 10:24 AM |
| Client Name | NEPTUNE LLC | Account Title | Initiator | CHRISTINE HEWITT |
| ECI | 0391309309 | Account Type | Initiating Team | PB FRONT OFFICE |
| LCB | PB | | | |

| Verify & Confirm for NEPTUNE LLC | |
|--|---------------------------------------|
| Final Risk Rating | High |
| Initial Risk Rating | High |
| GCS Report Requested | Full |
| Presence of Potential High Risk Indicators | No |
| Comments | |
| Summary of Risk Attributes | Jeffrey Epstein is a convicted felon. |

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

| GCS Grid | | |
|---|--|-------------------------|
| Search Type | Security Service Details | Further Review Required |
| Company Information | Information not confirmed for Neptune LLC; details included in the attachment. (TAX ID and Address) | Yes |
| Corporate Records | Information confirmed; details included in the attachment. | No |
| Other Database Searches (RDC/MIS/Factiva) | Information confirmed for Jeffrey E. Epstein; details included in the attachment. | No |
| Internal Database Search (CSSS/FPS) | Internal database search revealed prior GS&I research for Jeffrey E. Epstein and the following 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 | Information confirmed for Jeffrey E. Epstein; details included in the attachment. | No |
| Federal Court Searches | Information confirmed for Jeffrey E. Epstein; details included in the attachment. | No |
| Personal Particulars | Information confirmed; details included in the attachment. | No |
| Publications | Information confirmed for Jeffrey E. Epstein. details included in the attachment. | 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 | |
|---|---|
| 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 | This relationship is regularly reviewed by senior management/reputational risk committee. Extensive research and due diligence is completed and approved by the highest level of management |