

Ticket#	104537517	Account#	Initiated Date	02/09/2013 10:43 AM
Client Name	JEFFREY E EPSTEIN	Account Title	Initiator	JUSTIN D NELSON
ECI	9710670708	Account Type	Initiating Team	PB FRONT OFFICE
LOB	PB			

Verify & Confirm for Jeffrey Epstein	
Final Risk Rating	High
Initial Risk Rating	Standard
GCS Report Requested	Full
Presence of Potential High Risk Indicators	Yes
Reason for Adjustment	Convicted Felon
Comments	
Summary of Risk Attributes	Per bank policy, felons are considered high risk and require additional approval.
Please summarize any material changes which have occurred with the client within the past 12 months:	The account still has yearly monitoring as the client is sensitive.

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 additional research necessary.	No
Corporate Records	No additional research necessary.	No
Other Database Searches (RDC/MIS/Factiva)	No additional research necessary.	No
Internal Database Search (CSSS/FPS)	Internal database search revealed prior GS&I research for The Financial Trust Company & J Epstein and Co and nothing derogatory to report. Internal database search revealed prior GS&I research for Jeffrey Edward 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	No additional research necessary.	No
Federal Court Searches	No additional research necessary.	No
Personal Particulars	No additional research necessary.	No
Publications	No additional research necessary.	No
Regulatory Sanctions	No additional research necessary.	No
OFAC/Control List Search	No additional research necessary.	No
Negative or Inconsistent Information		Yes

GCS Red Dot	
Has this been identified as Red Dot KYC?	Yes
Red Dot (Derogatory Information) Identified	
Security Service Details (Include KYC names in which this was previously reported, if any.)	

Red Dot Information	

Negative Information Found	Yes
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