

USCG Due Diligence Report - Corporation

DDR Name: EMMCAC, LLC ~

DDR Status: Awaiting Senior Manager Approval

Banker Information

Banker:

Mary Rieth/JPMCHASE

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

DM ID Link Information

NO DMID Information in this DDR

Corporation Name/Contact Information

99/31167

00000043917

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Only Select "New Client" if this entity will be a PCN.

Full Legal Corporate

Name:

EMMCAC, LLC

(No P.O. Box address. Must be a physical address.)

Primary Corporate Address

Name:

Attention:

Address Line 1:

Address Line 2:

City:

State:

Province:

Postal/Zip Code:

Country:

Tax ID # :

Business Phone:

JPMC Internal Use Only

10022

USA

111111111

Remember to collect W-8's or other applicable tax forms for each jurisdiction.

() EMMCAC,

LLC

c/o Eric Gany

457 Madison Avenue

4th Floor

New York

State of Domicile:
Where is the Company
Incorporated?
What document did you obtain to
evidence state of domicile?
Articles of Incorporation,
Partnership Agreement, etc
Introduction / Financial Information
Introduction Type:
Specific Information:
Met with Principal?
Name Of Principal:
Legal Structure:
Part of the Epstein relationship
(Please identify Client, Type of Account etc.)
Jeffrey Epstein
Principal Beneficial Owner(s)
Identify the principal beneficial owner(s). If the entity is owned by an intermediate legal structur
e
(e.g. LLC or Partnership), please list the ultimate individual beneficial owner. A beneficial owner
is any person on behalf of whom the account is maintained.
Last Name:
First Name:
% of Ownership:
What form of identification document did you obtain for the files?
Other
If Other ,Please Describe:
Passport #
Please Describe:
Corporation's Net Worth:
Sales:
Total Assets:
Total Debt:
Specific Information
Are the controlling Shareholders the same as
the beneficial owners ?
Controlling Shareholder(s):
Jeffrey Epstein
Industry Code:
The Business Type is the industry in which the
client derives the majority of its income.
Investors (Misc.)
NAIC Code:
information already on file
NA
investments
\$ 1.00 (USD millions)
\$ (USD millions)
\$ 1.00 (USD millions)
\$ (USD millions)
account documentation
Tax ID
DOB
Transaction Profile/Expected Account Activity
What is the
purpose/intended use of
this account?
Please check the types of account and expected activity for this legal entity
(inflows and outflows of securities and cash) - check ALL that apply:
Activity Level:
Account
DDA/MMIA:
SDI:
Low (1-5 transactions/month)
Medium (6-12 trs/month)
High (over 12 trs/month)

Investment Management:
Funds:
Other:
Transaction Profile/Expected Account Activity
Checking account
Required Security Services Checks
Security Search Type:
Note for Security Services:
Please list any specific search requests/instructions to Security Services here
Security Services Information
A Security Services Check is REQUIRED for New Clients and Prospects
This section to be completed by the Security Services Group:
List Individuals and Corporate Entities Investigated:
Attachment:
Search Type
Is
Further
Review
by
Banker
Require
d?
Company Information
Corporate Records
Other Database Searches
(RDC/CDC/MIS)
Civil Court Action
Federal & State Court
Action
Personal Particulars
Publications
Regulatory Sanctions
No
No
No
No
No
No
No
OFAC/Control List Search No
Not requested.
Not requested.
Not requested.
Not requested.
Not requested.
Nothing derogatory was found.
No records were found.
Reference page 2 of the attached document to view the results of OFAC search.
No matches were found.
Has this been identified as a Red Dot DDR? :
Security Service Details:
Banker
Response:
Expense No.:
Total Costs:
\$0.00
Signed by:
Dated:
Anthony AJ Johnson
08/06/2004 12:19:30 PM
Corporation Checks
Background Check
Date
(Required If Check Carried Out)
04/10/2003
Comments
(Required If Check Carried Out)
EMMCAC, LLC is a new entity for the Jeffrey Epstein relationship

Controlling Shareholder Checks
Background Check

Date
(Required If Check Carried Out)
04/10/2003

Comments
Jeffrey Epstein has been researched already. He has a long-standing relationship with Morgan through the Leslie Wexner relationship, which is now extended personally relationship and professionally.

Summary
Summary Of Findings:
EMMCAC is the new entity for the Epstein relationship. This DDA/MMIA account will be used for the cash operations and management of the company.

Anticipated Product(s)
Account is urgently needed, tax id will be provided asap!!
Deposits; MMIA

Client Hierarchy Assignments
GRAY SHADED AREA CONTAINS SPN/CAS ID ASSIGNMENT INFORMATION
Banker SID

Banker BAC:

FNEN:
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Does the DDR have Multiple Entities?
Client Hierarchy and Additional Entity Assignment:

Name
EMMCAC, LLC
Linked to DM Name
Tax ID
000000000
SPN No
Existing
CAS Id

.
Linking to
DM Id
9710670708
CAS ID

EPSTEIN JEFFREY E

5593247

Contact Information for each entity named within the Client Hierarchy Table:

Associated Entity

Date of Birth

EMMCAC, LLC

.

.

Do any of the above entities require a joint SPN?

Select Yes, if multiple entities will share the same account (OMNI, CASII or Olympic)

Government issued

I.D Obtained

Tax ID #

000000000

.

0127900808

Citizenship

Does the DDR have Multiple Owners?

Name

Government issued

I.D Obtained

Tax ID #

Date of Birth

Attention

Address Line 1

State

Citizenship

Zip

Address Line 2

Province

City

Country

Approval Information

Public/High Profile Figure

No

High Risk Jurisdiction

High Risk Business

Is this a Foreign Bank?

"Foreign Bank" as defined in the USA

PATRIOT Act.

Banker:

LE/OU:

Senior Manager:

Mary Rieth/JPMCHASE

99/31167

Tad C Smith

No

No

No

Annual / Periodic Review Information

Annual/Periodic Review

Due in:

36 months

Temporary Waiver Information

Waiver Status:

Reason for Waiver:

Waiver Requested By:

Date of Waiver Request:

Approver for Waiver:

Waiver Approved On:

Banker Approval Information

Waiver Complete - DDR Pending

Security Services is still performing the client background check.

Doreen X Hewitt-Dunn

07/12/2004

David M Tarrío

07/12/2004

(Not Yet Determined)
Senior Manager Approval Information
(Not Yet Determined)
Admin Comments
Admin Comments:
By:
Date:
Admin Comments History :
Document History
Created: 07/12/2004
Last Modified: 08/11/2004 09:14:55 AM
Submitted: 07/12/2004
Recorded: 08/11/2004 09:20:16 AM
Audit History
Converted Tracking Document History:
By: Doreen X Hewitt-Dunn
By: Mary Rieth
By: Doreen X Hewitt-Dunn
By: Tad C Smith