

USCG Due Diligence Report - Corporation

DDR Name: HBRK Associates Inc. ~

DDR Status: Process Completed

Banker Information

Banker:

Paul V Morris/JPMCHASE

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

03/04/2010 11:23:27 PM - CRD / Notrix changed: Banker from Mary C Casey/-JPMCHASE to Paul V Morris/JPMCHASE.

DM ID Link Information

The DM for this DDR is DM Name -JEFFREY E EPSTEIN CAS ID - 9710670708.

The following DDR's are associated with this Decision Maker .

DDR Name

Banker

116 East 65th St., LLC

Darren K. Indyke PLLC

[REDACTED]

EMMCAC, LLC

Epstein, Jeffrey

Financial Trust Company, Inc.

Financial Trust Company, Inc.

Freedom Air International, Inc.

HBRK Associates Inc.

Hyperion Air, Inc.

I-Correct.com LLC

Indyke, Darren K

Jege, Inc.

LYN & JOJO LLC

[REDACTED]

MAX Foundation

New York Strategy Group, LLC

Plan D, Inc.

The 2007 Jeffrey E Epstein Insurance Trust

#2 - November 1, 2007

The 2007 Jeffrey E Epstein Insurance Trust

#3 dtd November 1, 2007

The 2007 Jeffrey E. Epstein Insurance

Trust #1 Dtd November 1, 2007

The C.O.U.Q. Foundation, Inc.

The Haze Trust

Corporation Name/Contact Information

Morris, Paul V

Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V
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Morris, Paul V
Morris, Paul V
Morris, Paul V
Morris, Paul V

102/29338

N256838

8634--CHBG

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Security Services Search Date

02/02/2009

10/17/2008

02/08/2004

08/06/2004

03/07/2011

08/11/1999

05/21/2003

03/11/2010

10/17/2008

02/03/2009

01/30/2009

01/15/2010

02/03/2009

07/31/2006

02/08/2004

12/10/2009

04/16/2003

01/30/2009

12/01/2008

12/02/2008

11/25/2008

01/28/2004

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

Full Legal Corporate

Name:

HBRK Associates Inc.

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

JPMC Internal Use Only

Primary Corporate Address

Name:

Attention:

Address Line 1:

Address Line 2:

City:

State:

Province:

Postal/Zip Code:

Country:

Tax ID # :

Business Phone:

State of Domicile:

Where is the Company

Incorporated?

What document did you obtain to
evidence state of domicile?

Articles of Incorporation,
Partnership Agreement, etc

10022

UNITED STATES

HBRK Associates Inc.

Richard Kahn

457 Madison Ave.

New York

NY

300503838

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

NY

Certificate

of Incorporation

Introduction / Financial Information

Introduction Type:

Related Client A/C

Specific Information:

Have you met with the Principal/Authorized
Individual?

Legal Entity:

Corporation

Jeffrey Epstein is a longstanding client

(Please identify referral source, etc.)

Corporation

What is the nature of the business operations?

(Describe products and services offered, how
long in business, etc. If this is an operating
company, indicate appx. number of locations
and appx. number of employees, list a website
if available)

Public or Privately owned? (if public, where
traded?)

Locations served?

Is this a cash intensive business or a business that uses cash as it's principal activity? (e.g. convenience store, restaurants, retail stores, liquor stores, cigarette distributor, vending machine operator, parking garage, any other business in which cash is its principal activity)

Principal Shareholder(s):

Identify the principal shareholders. If the entity is owned by an intermediate legal structure (e.g. LLC or Partnership), please list the ultimate individual shareholder(s) on whose behalf the account is maintained.

Last Name:

First Name:

Kahn

Beller

Richard

Harry

% of Ownership:

50

50

SSN

[REDACTED]

[REDACTED]

Consulting

privately owned

DOB

Form of Govt

Issued ID Obtained

[REDACTED]

drivers license

drivers license

Is this an operating company?

Entity/Client Net Worth:

\$ 1.00 (USD millions)

Documentation/ Information obtained to confirm stated net worth of the Entity/Client:

Industry Code:

The Business Type is the industry in which the client derives the majority of its income.

Transaction Profile/Expected Account Activity

What is the purpose/intended use of this account?

What is the expected source of account funding ?

Approximate \$ amount to fund the account

:

receipt and distribution of consulting fees

Wire

200,000

Please select each "Product Type" that applies. Within each product type, please check ALL transaction types that apply and provide a description of expected account activity. (document expected sources of inflows and destinations of

transfers,countries, and types of payors/payees.Include where is the money coming from - example : A specific bank or

firm and purpose of specific transactions, if known)

Product Type - Select all that apply

Transaction Types - Select all that apply and expected activity level (L = 1-5, M = 6-12, H =>12 transactions per month)

Deposit/Current Accounts

(Checking, Savings, Money Market)

Cash (withdrawals/deposits) -

Check deposits / Check paid -

Wire Incoming & Outgoing

Internal Transfers

Other

Please describe in detail expected account activity for this product :

Investment Products

(Custody,Brokerage,Agency,Margin)

Fiduciary

(Investment Mgmt. / Trust)

Credit type facilities

(Line of Credit, Mortgage, Letter of Credit)

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:

Please Note: All research is subject to the availability of electronic database resources.

-
-
-

Operational activity
to support a small
office.

Anticipated \$

Amount Totals per

month – Please

provide at least an
estimate

Below \$10000

Below \$100000

Below \$1MM

conversation with client

PRIVATE HOUSEHOLDS

NAIC Code: 814100

Media Searches Only

The company was just recently formed.

Search Type

Is

Security Service Details:

Further

Review

by

Banker

Require

d?

Company Information

Corporate Records

Other Database Searches

(RDC/CDC/MIS)

Internal Database Search

(CSSS/FPS)

State Court Searches

No

No

No

No

No

Federal Court Searches No

Personal Particulars

Publications

Regulatory Sanctions

No

No

No

OFAC/Control List Search No

Not Requested.

Not Requested.

Not Requested.

No records were found.

Not Requested.

Not Requested.

Not Requested.

Publications revealed nothing derogatory.

No records were found.

No records were found.

Has this been identified as a Red Dot DDR? :

Expense No.:

Total Costs:

Signed by:

Dated:

99/31167

\$0.00

Vanessa A Budhu

10/17/2008 08:28:48 PM

Banker

Response:

Background Checks conducted in addition to Security Services

Background Check

Date

(Required If Check Carried
Out)

10/03/2008

Comments

(Required If Check Carried Out)

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 and accounting services to Mr. Epstein.

Summary

Summary Of Findings:

Anticipated Product(s)

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.

Deposits

Client Hierarchy Assignments

GRAY SHADED AREA CONTAINS SPN/CAS ID ASSIGNMENT INFORMATION

Banker SID

N256838

Banker BAC:

FNEN:

Does the DDR have Multiple
Entities?

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No

Client Hierarchy and Additional Entity Assignment:

Name

HBRK ASSOCIATES INC.

Linked to DM Name

JEFFREY E EPSTEIN

Date of Birth

.

.

No

Tax ID #

Existing

CAS Id

██████████

SPN No

██████████

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

Associated Entity

Government issued

I.D Obtained

HBRK ASSOCIATES INC.

Do any of the above entities require a joint SPN?

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

Does the DDR have Multiple Owners?

No

This area is used to document individuals who DO NOT require a new CAS or
SPN, but have authority over the entity or
entities for which this DDR was created. Individuals documented within the
above client hierarchy area do not need to be
repeated in this section

Name

Government issued

I.D Obtained

Attention

State

Citizenship

Address Line 1

Zip

Tax ID #

Date of Birth

Tax ID #

[REDACTED]

.
.

Linking to

DM Id

9710670

708

CAS ID

[REDACTED]

Citizenship

Address Line 2

City

Province

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:

Paul V Morris/JPMCHASE

102/29338

Marcus Sheridan/JPMCHASE

No

No

No

Annual / Periodic Review Information

Annual/Periodic Review

Due in:

36 months

Periodic Review Comments :
Temporary Waiver Information

Waiver Status:

Reason for Waiver:

Waiver Requested By:

Date of Waiver Request:

Approver for Waiver:

Waiver Approved On:

Banker Approval Information

Sponsorship affirmation -

Based on my due diligence and the information provided , I approve and accept sponsorship of HBRK Associates Inc. ~

as a Client from inception and throughout the client relationship.

Mary C Casey 10/20/2008 08:41:29 AM

Senior Manager Approval Information

Based on the information provided and the approval granted by Mary C Casey, I approve the acceptance of HBRK Associates

Inc. ~ as a Client.

Marcus Sheridan 10/20/2008 03:36:15 PM

Admin Comments

Admin Comments:

By:

Date:

Admin Comments History :

Document History

Created: 10/03/2008

Last Modified: 10/20/2008

Submitted: 10/17/2008 08:28:49 PM

Audit History

8. 'Senior Manager Approval' performed by: Marcus Sheridan on: 10/20/2008 03:36:14 PM

7. 'Banker Approval' performed by: Mary C Casey on: 10/20/2008 08:41:30 AM

6. Submitted for Banker Approval SS Type = Media Searches Only performed by: Vanessa A Budhu on: 10/17/2008

08:28:56 PM

5. Button: 'Flag: Security Check has begun' performed by: Vanessa A Budhu on: 10/13/2008 12:23:36 AM

4. Button: 'Print' performed by: Desmia X Dale on: 10/03/2008 03:06:36 PM

3. Button: 'Approve Waiver' performed by: Elizabeth X Hogan on: 10/03/2008 11:22:16 AM

2. Button : 'Request Waiver' performed by: Mary C Casey on: 10/03/2008 11:14:09 AM

1. Submitted for Security Services Approval performed by: Mary C Casey on: 10/03/2008 11:13:19 AM

Converted Tracking Document History:

DDR Complete

Security Services is still performing the client background check.

Mary C Casey

10/03/2008

Elizabeth X Hogan

10/03/2008

By: Mary C Casey
By: Marcus Sheridan
By: Vanessa A Budhu
CN=Sharad Jajoo/0=JPMCHASE: 9015808b.doc