

USCG Due Diligence Report - Corporation

DDR Name: Darren K. Indyke PLLC ~

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

116 East 65th St., LLC

Darren K. Indyke PLLC

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

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

Banker

Morris, Paul V

Full Legal Corporate

Name:

Darren K. Indyke PLLC

(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:

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

300503849

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

NY

Articles

of Organization

457 Madison Ave.

New York

NY

Darren K. Indyke PLLC

Introduction / Financial Information

Introduction Type:

Related Client A/C

Specific Information:

Have you met with the Principal/Authorized
Individual?

Legal Entity:

Limited Liability Corporation

What is the purpose for forming the LLC?

Limited Liability Company

To provide legal services to Jeffrey Epstein.

Principal Beneficial Owner(s)/Shareholder(s)

Identify the principal beneficial owner(s)/shareholder(s). If the entity is
owned by an intermediate legal structure

(e.g. LLC or Partnership), list the ultimate individual beneficial owner(s).

A beneficial owner

is any person on behalf of whom the account is maintained.

Last Name:

First Name:

Indyke

Darren

Source of wealth of the beneficial owner(s)/shareholder(s):

Source of wealth of the Partners:

Executive Management/Professional

What is the client's current executive management position?

(Include any former positions, if significant to source of wealth)

List the approximate number of years in current position.

(Include any former positions, if significant to source of wealth)

Approximate yearly income/salary/bonus/distribution and other compensation history (accumulated earned income)

\$1.7mm

15

% of

Ownership

100

[REDACTED]

SSN

DOB

Form of Govt Issued

ID Obtained

drivers license

Executive Management/Professional

Jeffrey Epstein is a longstanding client.

(Please identify referral source, etc.)

Citizenship

UNITED STATES

attorney

Is this an operating company?

Entity/Client Net Worth:

\$ 3.00 (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 legal 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 :

-

-

-

Receipt and distribution of legal fees and payments for upkeep of office.

Investment Products

(Custody, Brokerage, Agency, Margin)

Anticipated \$

Amount Totals per

month – Please

provide at least an

estimate

Below \$10000
Below \$100000
Below \$1MM
Below \$1MM
Conversation with client
PRIVATE HOUSEHOLDS
NAIC Code: 814100
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
Media Searches Only

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.

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.

Information confirmed; details included in the attachment.

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? :

Banker

Response:

Expense No. :

Total Costs:

99/31167

\$0.00

Signed by:

Dated:

Vanessa A Budhu

10/17/2008 08:47:29 PM

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 is dissolving his family office (New York Strategy Group) and splitting it in two:

HBRK Associates Inc. and Darren K. Indyke PLLC. DKI PLLC

provides legal services to Mr. Epstein.

Summary

Summary Of Findings:

Anticipated Product(s)

Jeffrey Epstein is a longstanding client. He is dissolving his family office (NYSG) and

splitting it in two: HBRK Associates Inc. and Darren K. Indyke PLLC. DKI PLLC provides

legal 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?

8634--CHBG

01

No

Client Hierarchy and Additional Entity Assignment:

Name

DARREN K. INDYKE PLLC

Linked to DM Name

JEFFREY E EPSTEIN

Date of Birth

.

.

No

Tax ID #

Existing

CAS Id

[REDACTED]

SPN No

[REDACTED]

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

Associated Entity

Government issued

I.D Obtained

DARREN K. INDYKE PLLC

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
Tax ID #
Date of Birth
Tax ID #
[REDACTED]

.
Linking to
DM Id
9710670
708
CAS ID
0220795317
Citizenship
UNITED
STATES
Attention
Address Line 1
State
Citizenship
Zip
Address Line 2
Province
City
Country
Approval Information
Public/High Profile Figure
No

High Risk Jurisdiction

No

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

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 Darren K. Indyke PLLC ~

as a Client from inception and throughout the client relationship.

Mary C Casey 10/20/2008 08:41:00 AM

Senior Manager Approval Information

Based on the information provided and the approval granted by Mary C Casey,

I approve the acceptance of Darren K. Indyke

PLLCC ~ as a Client.

Marcus Sheridan 10/20/2008 03:35:41 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 08:47:30 PM

Audit History

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

03:35:40 PM

7. 'Banker Approval' performed by: Mary C Casey on: 10/20/2008 08:41:01 AM

6. Submitted for Banker Approval SS Type = Media Searches Only performed by:

Vanessa A Budhu on: 10/17/2008

08:47:35 PM

5. Button: 'Flag: Security Check has begun' performed by: Vanessa A Budhu
on: 10/12/2008 11:41:52 PM

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

4. Button: 'Print' performed by: Desmia X Dale on: 10/03/2008 12:45:49 PM
3. Button: 'Approve Waiver' performed by: Elizabeth X Hogan on: 10/03/2008 11:47:39 AM
2. Button : 'Request Waiver' performed by: Mary C Casey on: 10/03/2008 11:25:34 AM
1. Submitted for Security Services Approval performed by: Mary C Casey on: 10/03/2008 11:24:56 AM

Converted Tracking Document History:

CN=Ujwala Srinath/O=JPMCHASE: 1137404b.doc
CN=Ujwala Srinath/O=JPMCHASE: 9015308B.doc