

USCG Due Diligence Report - Fiduciary

DDR Name: The 2007 Jeffrey E Epstein Insurance Trust #2 - November 1, 2007 ~

DDR Status: Process Completed

Banker Information

Banker:

Mary C Casey/JPMCHASE

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

99/31167

U043917

8634--CHBG

01

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

Air Ghislaine, Inc.

Air Ghislaine, Inc.

Darren K. Indyke PLLC

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Freedom Air International, Inc.

HBRK Associates Inc.

Hyperion Air, Inc.

I-Correct.com LLC

Jege, Inc.

LYN & JOJO LLC

MAX Foundation

Maxwell, Ghislaine

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 Haze Trust

Trust/Estate Name / Contact Information

Casey, Mary C

Casey, Mary C

Casey, Mary C

Casey, Mary C

Casey, Mary C
Casey, Mary C
Morris, Paul V
Casey, Mary C
Rieth, Mary
Casey, Mary C
Casey, Mary C
Casey, Mary C
Casey, Mary C
Morris, Paul V

Security Services Search Date

02/02/2009
02/05/2009
02/05/2009
10/17/2008
05/21/2003
12/10/2008
12/10/2008
04/16/2010
04/16/2010
03/07/2011
03/11/2010
10/17/2008
02/03/2009
01/30/2009
02/03/2009
07/31/2006
12/10/2009
03/31/2005
01/30/2009
12/01/2008
12/02/2008
11/25/2008

Full Legal Entity Name:

Legal Entity:

The 2007 Jeffrey E Epstein Insurance Trust #2 - November 1, 2007
Trust

Trust Tax ID #

JPMC Internal Use Only

266387203

You must ensure that a copy of an IRS application for tax id has been
received

from the client as evidence per Private Bank Policy.

Trust / Estate Situs (Domicile): XX

JPM Executor or Trustee?

Fiduciary Manager

Non JPM Trustee(s) / Executor(s):

Complete this section for Non-JPM trustees / executors.

Primary Non JPM

Trustee/Executor is an

List the following information for the Primary Non JPM trustee / executor. If an Organization, please list under "Last Name" section and mark "First name" with a dash (-).

Last Name :

First name :

Middle Name/Initial:

Address Line 1:

Address Line 2:

City:

State

Province:

Country:

Postal/Zip Code:

Contact Phone:

Date of Birth :(mm/dd/yyyy)

Darren

K

Indyke

457 Madison Ave

4th Floor

New York

NY

UNITED STATES

10022

()

02/19/1965

What form of government issued identification document did you obtain for the files?

Driver's License

Tax ID / Social Security Number 098548596

Passport/Drivers License #

I5894 15672 02654

List any additional Non JPM trustees / executors in the following table.

Name

Date of Birth

(mm/dd/yyyy)

Lawrence Newman

05/31/1931

Grantor of Trust / Estate Assets:

List the following information for the grantor.

Grantor is an

If an Organization, Please list the legal name under "Last Name" section and mark "First name" with a dash (-).

Is the Grantor Deceased ?

Last Name :

First name :

Middle Name/Initial:

Address Line 1:

Address Line 2:

City:

State:

Province:

Country:

Postal/Zip Code:

Contact Phone:

Epstein

Jeffrey

457 Madison Ave

4th Floor

New York

NY

UNITED STATES

10022

()

Driver's License

Form of Govt Issued ID

Obtained

Passport # / DL #

Tax ID

880 980 555

059265381

Date of Birth :(mm/dd/yyyy)

01/20/1953

What form of government issued identification document did you obtain for the files?

Driver's License

If the grantor is deceased, please select "Other" and input a date of death.

090443348

Tax ID / Social Security Number

:

Passport/Drivers License #

You must ensure that a copy of an IRS application for tax id has been received

from the client as evidence per Private Bank Policy.

0904433481

List any additional grantors in the following table.If the grantor is deceased, indicate this in the Name field .If an

Organization, provide the legal name.

Name

Date of Birth

(mm/dd/yyyy)

Beneficiary (-ies):

Name

Mark Lawrence Epstein

Eva B Andersson

Introduction Information

Introduction Type:

Specific Information

Existing client

Met with Non JPM Trustee(s)/

Executor(s) ?

Background / Financial Information

Occupation, Business or Employer of Non-JPM

Trustee(s)/Executor(s)

Profession/Business Type:

Trust's/Estate's Value: \$ (USD millions)

Source Of Wealth/Assets of the trust:

Other

(Provide detailed and specific information)

money manager

Relationship to Grantor,Trustee/Executor

Grantor's brother

Grantor's friend

Form of Govt Issued ID

Obtained

Passport # / DL #

Tax ID

Other

Other

Jeffrey Epstein earned his wealth managing money for wealthy individuals

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

:

checking account

Wire

\$10,000

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

-

Anticipated \$

Amount Totals per

month – Please

provide at least an

estimate

Below \$100000

Below \$1MM

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)

-

Account will make

payments of life

insurance premiums.

Non-JPM Trustee(s)/Executor(s) Checks

Background Check

Date

Comments

(Required If Check Carried

Out)

12/02/2008

(Required If Check Carried Out)

Darren Indyke is a long-time employee of Jeffrey Epstein.

Due diligence was completed for him under Darren K Indyke

PLLC.

Grantor Checks

If A Background Check Has Been Carried Out,

Then Both The Date Of The Check And Comments From The Findings Of That Check

Are Required.

At least one Background Check needs to be performed.

At least one Background Check needs to be performed OUTSIDE THE MORGAN

NETWORK (Third Party Validation)

Background Check

Date

(Required If Check Carried

Out)

12/02/2008

Comments

Jeffrey Epstein is a PB client of over 10 years.

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.

Full

Trust domicile is U.S. Virgin Islands

Search Type

Is

Security Service Details:

Further

Review

by

Banker

Required?

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

No records were found.

No additional research necessary.

No records were found.

Information confirmed; details included in the attachment.

No additional research necessary.

No additional research necessary.

No additional research necessary.

Publications revealed nothing derogatory.

No records were found.

No records were found.

Has this been identified as a Red Dot DDR? :

Expense No.:

99/31167

Total Costs:

Signed by:

Dated:

Shakeema X Kimble

12/01/2008 03:12:24 PM

Banker

Response:

Summary

Summary Of Findings:

Jeffrey Epstein is a PB client of over 10 years. This account is for a life insurance trust.

Mr. Epstein was convicted of a felony charge and is currently serving an 18 month prison

sentence. Jes Staley conferred with Stephen Cutler and the decision was made to keep Mr.

Epstein as a client.

Anticipated Product(s)

Deposits

Client Hierarchy Assignments

GRAY SHADED AREA CONTAINS SPN/CAS ID ASSIGNMENT INFORMATION

Banker SID

U043917

Banker BAC:

FNEN:

8634--CHBG

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Does the DDR have Multiple Entities?

Client Hierarchy and Additional Entity Assignment:

Name

THE 2007 JEFFREY E EPSTEIN INSURANCE TRUST #2 -

NOVEMBER 1, 2007

Linked to DM Name

JEFFREY E. EPSTEIN

Date of Birth

.

.

Tax ID

Existing

CAS Id

266387203

SPN No

9018595

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

Associated Entity

Government issued

I.D Obtained

THE 2007 JEFFREY E EPSTEIN

INSURANCE TRUST #2 -

NOVEMBER 1, 2007

Do any of the above entities require a joint SPN?

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

Tax ID #

266387203

.

.

Linking to

DM Id

9710670708

CAS ID

0220819398

Citizenship

Does the DDR have Multiple Owners?

Name

Government issued

I.D Obtained

Attention

State

Citizenship

Address Line 1

Zip

Tax ID #

Date of Birth

Address Line 2

City

Province

Country

Approval Information

Public/High Profile Figure

Yes

If a Public/High Profile figure,
please select one of the following:

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:

Area Head:

Mary C Casey/JPMCHASE

99/31167

Marcus Sheridan/JPMCHASE

Catherine Keating/JPMCHASE

Annual / Periodic Review Information

Annual/Periodic Review

Due in:

12 months

Temporary Waiver Information

Waiver Status:

Prominent person who is perceived to be controversial

No

No

No

DDR Complete

Reason for Waiver:

Waiver Requested By:

Date of Waiver Request:

Approver for Waiver:

Waiver Approved On:

Security Services is still performing the client background check.

Lucy Baglivo

11/17/2008

Elizabeth X Hogan

11/17/2008

Banker Approval Information

Sponsorship affirmation -

Based on my due diligence and the information provided , I approve and accept sponsorship of The 2007 Jeffrey E

Epstein Insurance Trust #2 - November 1, 2007 ~ as a Client from inception and throughout the client relationship.

Mary C Casey 12/02/2008 02:12:45 PM

Senior Manager Approval Information

Based on the information provided and the approval granted by Mary C Casey, I approve the acceptance of The 2007 Jeffrey

E Epstein Insurance Trust #2 - November 1, 2007 ~ as a Client.

Marcus Sheridan 12/02/2008 03:21:57 PM

Area Head Approval Information

Based on the information provided and the approval granted by Mary C Casey and Marcus Sheridan, I approve the

acceptance of The 2007 Jeffrey E Epstein Insurance Trust #2 - November 1, 2007 ~ as a Client

Catherine Keating 12/11/2008 01:35:41 PM

Quality Reviewer Information

1st Quality Review Comment:

2nd Quality Review Comment:

3rd Quality Review Comment:

4th Quality Review Comment:

5th Quality Review Comment:

Admin Comments

Admin Comments:

By:

Date:

Admin Comments History :

Document History

Created: 11/17/2008

Last Modified: 12/11/2008

Submitted: 12/02/2008 03:21:57 PM

Recorded: 12/11/2008 01:35:48 PM

Audit History

10. 'Area Head Approval' performed by: Catherine Keating on: 12/11/2008 01:35:47 PM

9. Quality Review performed by: Bonnie K Perry on: 12/04/2008 10:29:29 AM

8. 'Senior Manager Approval' performed by: Marcus Sheridan on: 12/02/2008 03:21:56 PM

7. 'Banker Approval' performed by: Mary C Casey on: 12/02/2008 02:12:46 PM

6. Submitted for Banker Approval SS Type = Full performed by: Shakeema X Kimble on: 12/01/2008 03:12:25 PM
5. Button: 'Flag: Security Check has begun' performed by: Desmia X Dale on: 11/17/2008 04:42:44 PM
4. Button: 'Approve Waiver' performed by: Elizabeth X Hogan on: 11/17/2008 04:40:16 PM
3. Button: 'Print' performed by: Desmia X Dale on: 11/17/2008 04:33:05 PM
2. Button : 'Request Waiver' performed by: Lucy Baglivo on: 11/17/2008 04:32:29 PM
1. Submitted for Security Services Approval performed by: Lucy Baglivo on: 11/17/2008 04:31:47 PM
Converted Tracking Document History:
Bonnie K Perry on 12/4/2008 10:29:24 AM Comments : Ok to approve.
By: Lucy Baglivo
By: Catherine Keating
By: Marcus Sheridan
By: Catherine Keating
CN=Sharad Jajoo/O=JPMCHASE: 9790208B.doc