

USCG Due Diligence Report - Individual

DDR Name: Darren K Indyke ~

DDR Status: Process Completed

Banker Information

Banker:

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

03/31/2010 11:30:14 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

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  
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Morris, Paul V  
Morris, Paul V

Paul V Morris/JPMCHASE

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

Last Name:

First Name:

Middle Name/Initial:

Previous Last Name(s):

Title:

JPMC Internal Use Only

Indyke

Darren  
K

Business Name:  
(To Record Individual's Ownership Or Employer)  
Primary Address  
Addresses  
(Legal address on account)  
Name:  
Attention:  
Address Line 1:  
Address Line 2:  
City:  
State:  
Province:  
Postal/Zip Code:  
Country:  
Legal Entity:  
Industry Code:  
Citizenship:  
Date of Birth:  
Gender:  
Tax ID # :  
Passport/Drivers  
License #:  
Home Phone:  
( )Introduction  
Information  
Introduction Type:  
Specific Information:  
Met With Principal?  
If you did not meet the Principal, give an indication of why you haven't met  
the individual and when you will.  
N/A  
What form of government issued identification document did you obtain for the  
files?  
Driver's License  
Financial Information  
Occupation, Business or Employer  
of the Client:  
Net Worth of Client:  
Documentation/ Information  
obtained to confirm stated net  
worth of the Client:  
Source Of Wealth:  
Attorney  
\$ 3 (USD millions)  
Annual salary plus value of personal residence  
Executive Management/Professional  
Executive Management/Professional  
What is the client's current  
executive management position?  
(Include any former positions,  
if significant to source of wealth)

List the number of years in current position. (Include any former positions, if significant to source of wealth)

Attorney

07039

UNITED STATES

UNITED STATES

2 Kean Court

Livingston

NJ

(Other than Primary Address)

Business Address

Individual / Joint

PRIVATE HOUSEHOLDS

NAIC Code: 814100

UNITED STATES

02/19/1965

(Use 4-digit year)

Male

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

Other

Darren Indyke is the attorney for our client, Jeffrey Epstein.

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Approximate yearly

1.7MM

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

:

IRA Account

Wire

\$60,000

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)

-

-

Administrative flows.

Cash ( withdrawals/deposits)Check  
deposits / Check paid -

Wire Incoming & Outgoing -

Internal Transfers

Purchase & Sells

Other

Please describe in detail expected account activity for this product :

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

-  
-  
-

Buy and hold investments for his IRA account.

Anticipated \$ Amount Totals per month – Please provide at least an estimate

Below \$1MM

Below \$1MM

Full

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

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 additional research necessary.

No additional research necessary.

No additional research necessary.

Ref (1137404) Forum LLC and Darren K Indyke PLLC

No additional research necessary.

Has this been identified as a Red Dot DDR? :

Expense No.:

Total Costs:

Signed by:

Dated:

99/31167

\$0.00

Faith B Deceglia

01/15/2010 03:57:17 PM

Banker

Response:

Individual Checks

Date

Background Check

(Required If Check

Carried Out)

02/02/2010

Comments

(Required If Check Carried Out)

Darren Indyke is the longstanding internal counsel to Jeffrey Epstein (JPM client).

Summary

Summary Of Findings:

Anticipated Product(s)

Darren Indyke is the attorney for our client, Jeffrey Epstein. Mr. Indyke is opening an IRA with JPMorgan.

Deposits

SDI

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

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No

Client Hierarchy and Additional Entity Assignment:

Name

Indyke, Darren K

Linked to DM Name

JEFFREY E EPSTEIN

Date of Birth

Indyke, Darren K

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

No

Tax ID #

Existing

CAS Id

SPN No  
9213184

Contact Information for each entity named within the Client Hierarchy Table:  
Associated Entity  
Government issued  
I.D Obtained  
Driver's License  
Tax ID #

█  
.

Linking to

DM Id  
9710670  
708

CAS ID  
0221165201

Citizenship  
UNITED  
STATES

Address Line 2

City  
Province  
Country

Approval Information  
Public/High Profile Figure  
No

High Risk Jurisdiction  
High Risk Business

Banker:  
LE/OU:  
Senior Manager:

No  
No  
Paul V Morris/JPMCHASE  
102/29338

Marcus Sheridan/JPMCHASE  
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 ~ as a Client from inception and throughout the client relationship.

Mary C Casey 02/02/2010 09:55:25 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 ~ as a Client.

Marcus Sheridan 02/02/2010 11:01:35 AM

Admin Comments

Admin Comments:

By:

Date:

Admin Comments History :

Document History

Created: 12/29/2009

Last Modified: 02/02/2010

Submitted: 01/15/2010 03:57:17 PM

Audit History

7. 'Senior Manager Approval' performed by: Marcus Sheridan on: 02/02/2010 11:01:36 AM

6. 'Banker Approval' performed by: Mary C Casey on: 02/02/2010 09:55:25 AM

5. Submitted for Banker Approval SS Type = Full performed by: Faith B Deceglia on: 01/15/2010 03:57:19 PM

4. Button: 'Print' performed by: Javia S Hairston on: 12/29/2009 03:40:16 PM

3. Button: 'Approve Waiver' performed by: Elizabeth X Hogan on: 12/29/2009 02:08:14 PM

2. Button : 'Request Waiver' performed by: Lucy Baglivo on: 12/29/2009 02:05:59 PM

1. Submitted for Security Services Approval performed by: Lucy Baglivo on: 12/29/2009 02:05:40 PM

Converted Tracking Document History:

DDR Complete

The DDR requires additional follow-up action/update.

Lucy Baglivo

12/29/2009

Elizabeth X Hogan

12/29/2009

By: Lucy Baglivo  
By: Marcus Sheridan  
By: Faith B Deceglia  
CN=Sharad Jajoo/0=JPMCHASE: 1137404B.doc