

USCG Due Diligence Report - Fiduciary

DDR Name: The Haze Trust ~

DDR Status: Process Completed

Banker Information

Banker:

Paul V Morris/JPMCHASE

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

102/29338

N256838

8634--CHBG

99

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

Trust/Estate Name / Contact Information

Banker

Morris, Paul V

Morris, Paul V

Morris, Paul V

Morris, Paul V



Trust Tax ID #

137185414

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): NY

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)

Epstein

Jeffrey

6100 Red Hook Quarter B3

xx

XX

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

Driver's License

Tax ID / Social Security Number 090443348

Passport/Drivers License #

United States Virgin Islands D/L - DD C-000000029913 - CI - 0000025874

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

Name

Date of Birth

(mm/dd/yyyy)

Darren K. Indyke

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:

Epstein

Jeffrey

6100 Red Hook Quarter B3

xx

XX

St. Thomas

Driver's License

Form of Govt Issued ID

Obtained

Passport # / DL #

Tax ID

New Jersey D/L



Country:  
Postal/Zip Code:  
Contact Phone:  
Date of Birth :(mm/dd/yyyy)



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.

US Virgin Island D/L - DD - C-00000029913 - CI - 0000025874

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

Jeffrey Epstein

Introduction Information

Introduction Type:

Specific Information

This is another part of an existing client relationship with Jeffrey Epstein. The client has requested the opening of a checking account for trust. This trust is for the benefit of Jeffrey Epstein.

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: \$ 50.00 (USD millions)

Source Of Wealth/Assets of the trust:

Other

(Provide detailed and specific information)

Jeffrey Epstein is a financial advisor - he has made his wealth managing money for wealthy individuals.

Relationship to Grantor,Trustee/Executor

Self

Form of Govt Issued ID

Obtained

Passport # / DL #

Tax ID

Related Client A/C

Other

The source of wealth derives from distributions, funding from other sources - personal investments

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 for trust.

Wire

10,000,000

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) -

Anticipated \$

Amount Totals per

month - Please

provide at least an

estimate

Below \$10000

Check deposits / Check paid -

Below \$100000

Wire Incoming & Outgoing

Internal Transfers

Other

Please describe in detail expected account activity for this product :

Investment Products

(Custody, Brokerage, Agency, Margin)

-  
-  
-

Low monthly activity

Below \$1MM

Below \$1MM

Fiduciary

(Investment Mgmt. / Trust)

Credit type facilities

(Line of Credit, Mortgage, Letter of Credit)

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

Date

Background Check

(Required If Check Carried

Out)

04/22/2010

Comments

(Required If Check Carried Out)

Jeffrey Epstein is an existing client. Darren Indyke is the attorney for Jeffrey Epstein and an existing client.

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)

04/22/2010

Comments

Jeffrey Epstein is an existing client.

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

Required?

Company Information

Corporate Records

Other Database Searches

(RDC/CDC/MIS)

Internal Database Search

(CSSS/FPS)

State Court Searches

Federal Court Searches

Personal Particulars

Publications

Regulatory Sanctions

OFAC/Control List Search

Has this been identified as a Red Dot DDR? :

Security Service Details:

Banker

Response:

None

Expense No.:

102/29338

Total Costs:

Signed by:

Dated:

Summary

Summary Of Findings:

Anticipated Product(s)

This is another part of an existing client relationship with Jeffrey

Epstein. The client has

requested the opening of a checking account for trust. This trust is for the benefit of

Jeffrey Epstein.

Deposits

Client Hierarchy Assignments

GRAY SHADED AREA CONTAINS SPN/CAS ID ASSIGNMENT INFORMATION

Banker SID

Banker BAC:

FNEN:

N256838

Does the DDR have Multiple  
Entities?

8634--CHBG

99

No

Client Hierarchy and Additional Entity Assignment:

Name

The Haze Trust

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

The Haze Trust

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 #

137185414

.

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Linking to

DM Id

9710670

708  
CAS ID  
0221477308  
Citizenship  
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:  
Paul V Morris/JPMCHASE  
102/29338  
Mary C Casey/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:

DDR Complete

The Senior Manager is out of the office and the Banker is unable to find another senior

manager to approve the DDR.

Debra White

04/22/2010

Elizabeth X Hogan

04/22/2010

Banker Approval Information

Sponsorship affirmation -

Based on my due diligence and the information provided , I approve and accept sponsorship of The Haze Trust ~ as a

Client from inception and throughout the client relationship.

Paul V Morris 07/14/2010 03:50:48 PM

Senior Manager Approval Information

Based on the information provided and the approval granted by Paul V Morris, I approve the acceptance of The Haze Trust ~ as a Client.

Thomas K. Southmayd 07/22/2010 10:26:20 AM

Admin Comments

Admin Comments:

By:

Date:

Admin Comments History :

Document History

Created: 04/22/2010

Last Modified: 07/22/2010

Submitted: 04/22/2010 11:34:50 AM

Audit History

5. Senior Manager Approved on Behalf of Mary C Casey because designated Senior Manager is Senior manager unavailable.

performed by: Thomas K. Southmayd on: 07/22/2010 10:26:26 AM

4. 'Banker Approval' performed by: Paul V Morris on: 07/14/2010 03:50:54 PM

3. Button: 'Approve Waiver' performed by: Elizabeth X Hogan on: 04/22/2010 11:44:18 AM

2. Button : 'Request Waiver' performed by: Debra White on: 04/22/2010 11:36:05 AM

1. Submitted for Banker Approval performed by: Debra White on: 04/22/2010 11:34:51 AM

Converted Tracking Document History:

By: Debra White  
By: Thomas K. Southmayd  
By: Debra White