

Ticket#  
102657535  
Client Name  
ECI  
LOB  
JEEPERS, INC.  
0241857215  
PB  
Account#  
Account Title  
Account Type  
Initiated Date  
Initiator  
Initiating Team  
12/08/2011 11:53  
AM  
DEBRA WHITE  
PB FRONT OFFICE  
Verify & Confirm for JEEPERS, INC.  
Final Risk Rating  
Initial Risk Rating  
GCS Report Requested  
Presence of Potential High Risk  
Indicators  
Reason for Adjustment  
Comments  
Summary of Risk Attributes  
Creation  
Date  
Risk Updated History  
Entered by  
GCS Grid  
Search Type  
Company Information  
Corporate Records  
Other Database Searches  
(RDC/MIS/Factiva)  
Internal Database Search (CSSS/FPS)  
Full  
No  
Derogatory information - Jeffrey Epstein personally is flagged as High Risk due to felony conviction.  
Moderate  
High  
Updated  
Risk  
Previous  
Risk  
Comment  
Security Service Details  
No records were found.  
Further Review Required  
No  
No additional research necessary.  
No records were found.  
Internal database search revealed prior GS&I research for Jeffrey E Epstein and the following derogatory information was reported.  
Several newspaper articles were found that detail the indictment of Jeffrey Epstein in Florida on felony charges of soliciting underage prostitutes. Jeffrey Epstein served 13 months in jail.  
Numerous articles detail various law enforcement agencies investigating Jeffrey Epstein for allegedly participating in child trafficking and molesting underage girls. Jeffrey Epstein is required to register as a sex offender.

Jeffrey Epstein has settled a dozen civil lawsuits out of court from his victims regarding solicitation for an undisclosed amount.

State Court Searches

Federal Court Searches

Personal Particulars

Publications

Regulatory Sanctions

OFAC/Control List Search

Negative or Inconsistent Information

GCS Red Dot

Has this been identified as Red Dot KYC?

Negative Information Found

Banker Attestation Details

As the client sponsor, I understand that I am primarily responsible for protecting the firm's reputation from inappropriate business relationships, as well as from fraud and money laundering. By approving this KYC, I am sponsoring this client as to their character and reputation and from a legal/regulatory standpoint.

Please state your rationale for conducting business with this client

Please respond to any issue(s) identified in the GS&I grid that either needs further review, or red dot which is not already covered in a Business Case within this KYC

Comments

Yes

No

Yes

No additional research necessary.

No additional research necessary.

No additional research necessary.

No records were found.

No

No

No

Publications revealed nothing derogatory. No

No records were found.

No

No

Yes

No

No

Yes

Long standing client reviewed regularly by compliance and management.

Research continue to reveal information on Jeffrey Epstein and felony conviction. No additional news to report.

Primary Information  
Client Type  
Client Status  
Confidential Names?  
Legal Business Name  
Country of Primary  
Domicile  
Country of Organization  
Industry Code (NAIC)  
Client Legal Entity Type  
Date of Incorporation/Situs  
(Date of Trust)  
Documentary Evidence  
What is the nature/purpose of  
this entity?  
Non Individual  
Client  
No  
Front Office Restricted?  
Active Indicator  
JEEPERS, INC.  
VIRGIN ISLANDS, U.S.  
Primary Country of Assets VIRGIN ISLANDS, U.S.  
VIRGIN ISLANDS, U.S.  
Personal Investment  
Companies [525997]  
Corporation  
08/18/2003  
Corporation - Certified Articles  
of Incorporation  
Investments  
Is the entity a Personal  
Holding Company (PHC) or  
Personal Investment  
Company (PIC) located in an  
offshore jurisdiction?  
PHC/PIC Questions  
Are shares registered or in  
bearer form  
List the total number of  
shares that have been issued  
High Risk Jurisdiction  
Address(es)  
Type  
Legal  
Notes  
Address  
6100 RED  
HOOK  
QUARTER  
B3  
Phone(s) /Fax(s)  
Type  
Work  
Notes  
Phone  
Number  
3407752523  
Tools  
Verify "Do Not  
Call" List  
Email(s)  
Type  
Notes  
Email address not available  
Cost Center & Hierarchy  
Client Status  
Client Sponsor  
Cost Center  
Client Service Team

GIO  
Trust Advisor  
Decision Maker  
Identification  
Withholding Federal Status  
Domestic Certified  
Withholding SSN/TIN  
Certification Date  
12/08/2011  
Email  
Entered by  
Date of Update Preferred  
Entered by  
SYSTEM  
Date of  
Update  
12/08/2011  
Preferred  
Yes  
City, State,  
Postal  
Code  
ST.  
THOMAS,  
00802  
Country  
Tools  
Map it  
Entered by Date of  
Update  
BATCH  
Preferred  
12/08/2011 Yes  
Registered  
1000.0  
Yes  
What is the authorized  
capital(This information is  
usually found in the Board  
Resolution and/or minutes)  
1000.0  
Yes  
WebSite  
Organization State  
Secondary Industry Code  
(NAIC)  
Client Category  
Profit  
Insider Code (Reg. O)  
Normal  
Client  
Client Type  
PAUL V MORRIS  
008634 - CHBG  
CHBG (DE) 4  
Paul S Barrett  
JEFFREY E EPSTEIN  
New or Existing Client  
Entity Type  
Portfolio Manger  
Investor  
DM ECI  
9710670708  
Non Individual  
Existing  
Entity

SSN/TIN/EIN  
66-0629193  
Introduction & Wealth  
Introduction Type  
Net Worth of client (\$)  
Additional Entities  
No additional entities available at this time  
Additional Party Information  
ECI  
Party Type Party Name Last  
Completed  
Search Date  
9710670708 Individual  
Jeffrey E  
Epstein  
03/07/2011  
KYC Status Report Type Relation  
Type  
In Progress Full  
Sole Owner  
Powers  
Percent  
Owned  
100.0  
Existing JPMorgan Client - Inside LOB  
50,000,000.00  
Primary Information for Jeffrey E Epstein  
Client Type  
Client Status  
Front Office Restricted?  
Confidential Names?  
First Name  
Middle Name  
Last Name  
Suffix  
PreviousName/MMN/Alias  
Citizenship  
Employer Name  
Occupation  
Years at Occupation  
Individual  
Client  
Normal  
No  
Country of Primary Domicile UNITED STATES  
Prefix/Title  
Jeffrey  
E  
Epstein  
UNITED STATES  
High Risk Jurisdiction  
Industry Code (NAIC)  
Secondary Industry Code  
(NAIC)  
Address(es)  
Type  
Legal  
Notes  
Address  
ATTN  
DARREN K  
INDYKE, 301  
EAST 66TH  
STREET,  
SUITE 10B,  
Phone (s) /Fax (s)  
Type  
Home  
Notes  
Phone Number Tools

2127509790  
Verify "Do Not  
Call" List  
Email(s)  
Type  
Notes  
Email address not available  
Cost Center & Hierarchy  
Client Status  
Client Sponsor  
Cost Center  
Client Service Team  
Email  
Entered by  
Date of Update  
Preferred  
Entered by  
BATCH  
Date of Update Preferred  
05/12/2011  
Yes  
City, State,  
Postal Code  
NEW YORK,  
New York,  
10065  
Country  
UNITED  
STATES  
Tools  
Map it  
Entered by Date of  
Update  
BATCH  
Preferred  
09/08/2007 Yes  
INDIVIDUALS [999940]  
Personal Investment  
Companies [525997]  
Generation  
Active Indicator  
Marital Status  
Primary Domicile State  
Insider Code (Reg. O)  
Full Name  
Gender  
Date of Birth  
Primary Country of Assets  
Jeffrey E Epstein  
Male  
01/20/1953  
UNITED STATES  
Yes  
Single  
Client  
Client Type  
PAUL V MORRIS  
008634 - CHBG  
CHBG (DE) 4  
Entity Type  
Decision Maker  
Individual

Identification  
Withholding Federal Status  
Form of government issued  
identification obtained for the  
files  
Primary Identification Number  
Date Issued  
Introduction & Wealth  
Introduction Type  
Net Worth of client (\$)  
Source Of Wealth / Financial Information Details  
Source Of Wealth -Identify the Clients Source of Wealth from  
following list of options  
Issued By  
Expiration Date  
Withholding SSN/TIN  
Certification Date  
SSN/TIN/EIN  
090443348  
Introduction  
Non Individual Entity Type  
For Profit?  
Locations Served?  
a. If International or both, please describe:  
Corporation - For Profit  
Yes  
Both  
To conduct its business in the Virgin Islands and elsewhere in the  
United States and foreign countries and to have offices within or  
outside the Virgin Islands and to hold, purchase, mortgage and  
convey real and personal property within or outside the Virgin  
Island.  
Public or Private  
Are beneficial owners/principal shareholders associated with  
this business?  
Who owns this entity?  
Please Provide ownership details  
Private  
Yes  
Individual  
Jeffrey Epstein is the sole owner of the corporation -  
Jeffrey Epstein  
DOB: 01/20/1953  
SSN: [REDACTED]  
Citizen: United States  
Govt ID: US Virgin Islands - CI 0000025874 - Issued 1/15/2010 -  
Expires - 1/20/2015  
Ownership is not equal to 100%?  
Are there any authorized signers or any other individuals  
with authority over the entity?  
What independent background check, in addition to the  
Global Corporate Security ("GCS") background check, has  
been carried out? Check all that apply and provide the date  
in which the background check was conducted. (at least 1  
must be selected)  
JPMC Network Date  
JPMC Network Comments  
No  
No  
JPMC Network  
12/08/2011  
This is another part of an existing client relationship with Jeffrey  
Epstein.  
An ECI was created for this entity in the Retail Bank but no  
account number was ever assigned. We are moving this ECI  
from Retail to Private Bank to open an asset/brokerage account.  
Politically Exposed Person  
Are any of the beneficial owners/authorized signers or other  
individuals with authority over this entity a current or former  
Senior United States or Non-USA Political Official / also

known as a Politically Exposed Person (PEP) or related to one?

Source of Wealth/Financial Information

Client Category(for SOW)

Source of Wealth- identify the clients source of wealth from the following list of options

Provide detailed and specific information.

Which country(ies) is(are) the Client's primary Source of Wealth or Income derived?

Is this an Operating Company?

No

For Profit

Other

The source of wealth will derive from the personal assets of Jeff Epstein. Jeff Epstein is self-employed investor/entrepreneur.

UNITED STATES

No

Total Net Worth \$  
50000000.00

What was the total net worth based on?

Is this client a Professional Service Provider acting as a financial intermediary (Gatekeeper/Financial Liaison), with assets held on behalf of one or more unidentified underlying clients unknown to the bank?

Is this entity a Private Equity Fund (Venture Capital Fund or Leveraged Buyout)?

Is this a Hedge Fund? (Pooled investment vehicles (often partnerships) that primarily invest financial capital of third party investors in enterprises that are too risky for the standard capital markets or bank loans.)

Is this a Cash Intensive business? (Cash-intensive businesses/entities exist in various industry sectors and include, but are not limited to convenience stores, grocery stores, restaurants, bars, retail stores, liquor stores, cigarette distributors, privately owned ATMs, vending machine operators and parking garage operators.)

Is this entity any of the following business types?

Is the Entity a Personal Holding Company (PHC) or Personal Investment Company (PIC) located in an offshore jurisdiction?

Is the PHC/PIC managed by JPMC? (Trustees of the entity are JPMC employees, e.g., PHC managed in Nassau/Geneva/Delaware)

PHC/PIC Location

Did the client confirm with you that the beneficial ownership is as stated within this KYC?

Did the client confirm that he/she would inform you if beneficial ownership changes?

Was the "Confirmation of Beneficial Ownership" document received from the beneficial owner? Please attach the J.P. Morgan Confirmation of Beneficial Ownership document to the KYC.

List the number of shares that have been issued

Business Case

Please specify why you are comfortable with this client given the identified risk factor(s). Your answer is your "business case" and should detail all mitigating factors.

Provide client history/detail, including when the relationship was established, how it came to be in PB/PWM, client's association with other JPM LOBS, etc.

Client known to whom (JPMorgan employees), how well, and how long:

Overall PB/PWM relationship size and type of accounts:

Is this a shared client, what other LOB has a relationship with the client? Provide relationship manager name (if known), client of other LOB since (date), and relationship size?

Additional Comments

Expected Activity

Client Directed Asset / Brokerage Account(s)

Transaction Types

Cash Deposits

Cash Withdrawals

Check Deposits

Checks Paid

Incoming Wires (Domestic)

Outgoing Wires (Domestic)

Incoming Wires (International)

Outgoing Wires (International)

ACH Deposits

ACH Payments

Internal Transfer (Debits/Credits)

Asset Purchases/Sales

Low (1-10)

<\$10,000

What is the initial/ongoing source of funding for the client's Client Directed Asset / Brokerage Account(s) ?

The initial source of funding will be from an external wire transfer of funds from First B

ank Virgin Islands Bank in the amount of \$800.  
Any ongoing source of funding will also be from First Bank Virgin Islands Bank.  
What is the purpose/intended use of account(s)? Please provide a detailed description of  
how the Client Directed Asset /  
Brokerage Account(s) will be used by the client.  
The purpose of the account is to purchase securities for future wealth accumulation.  
Low (1-10)  
<\$10,000  
Expected Activity Levels  
Anticipated Dollar Amount Totals  
per Month  
Client well-known to PB team and regularly reviewed at  
reputational risk meeting and updates.  
Long standing PB client.  
Integrated team/management team  
>\$100 million  
No  
N/A  
1000.00  
Financial Statements  
No  
No  
No  
No  
aa. None of the above  
Yes  
No  
Have you received copies of the shares or listing of shares? Yes  
Are the shares registered or in bearer form?  
Registered  
VIRGIN ISLANDS, U.S.  
Yes  
Yes  
Yes

Additional Client Information

Please include any additional information that would further explain your knowledge of the client (family tree/history, public information, websites, etc.)

Comment History

Stage Name

Creation Date

Entered By

There are no comments entered at this time.

Approval History

Stage Name

Banker Attestation

Market Manager

Approval

Regional Director

Approval

Comment Preview

Signoff Date

04/19/2012 11:00

AM

04/20/2012 06:13

PM

04/30/2012 01:06

PM

DF#@&T15#7@1

Owner SID

N256838

U043917

U095563

Owner Name

PAUL V MORRIS

MARY C CASEY

WILLIAM M SHERIDAN