

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:

Please Note: All research is subject to the availability of electronic database resources.

Attachment:



9147709B.doc

Search Type	Is Further Review by Banker Required?	Security Service Details:	Banker Response:
Company Information	No	Information confirmed; details included in the attachment.	
Corporate Records	No	Information confirmed; details included in the attachment.	
Other Database Searches (RDC/CDC/MIS)	No	No records were found.	
Internal Database Search (CSSS/FPS)	No	Reference section of the DDR titled "Red Dot (derogatory information) identified:" to view the specifics on the adverse information GS&I has identified for this account. Information confirmed; details included in the attachment.	
State Court Searches	No	No records were found.	
Federal Court Searches	No	No records were found.	
Personal Particulars	No	No additional research necessary.	
Publications	No	Information confirmed; details included in the attachment.	
Regulatory Sanctions	No	No records were found.	
OFAC/Control List Search	No	No records were found.	

Has this been identified as a Red Dot DDR? : Yes No

Red Dot (derogatory information) Identified:

Red Dot information is any derogatory information identified by Global Security Services which warrants the attention of the banker. The presence of "Red Dot" information does not necessarily mean that an existing relationship will be exited or a potential client relationship not pursued. The banker should document any conversations that have taken place with the client/prospect, if any, with regard of the issue and whether or not this impacts his/her, or management's decision to continue with or accept the person/entity as a client.

Security Service Details (Include DDR names in which this was previously reported, if any)	Proceed with or maintain the client relationship Yes / No	Banker Response (If "Yes", please provide your rationale for proceeding with or maintaining the client relationship. If "No", please specify steps that will be taken)
<p>The following information was previously reported to Mary Reith on 03/17/2003 under the account Ghislaine Maxwell (DDR # 1185/03):</p> <p>Several newspaper articles detailing the investigation conducted by Britain's Serious Fraud Office against Robert Maxwell. He allegedly used pension funds to service debts, cover operating losses, gamble in the foreign exchange markets, and support the stock of his publicly held companies. The agency is also looking into a complaint from Swiss Bank Corp., which says it did not receive collateral for a \$100 million loan to a small private Maxwell company.</p> <p>Newspaper article dated 12/01/2000, which stated that "Ghislaine Maxwell's source of wealth is being classified as something of a mystery."</p> <p>Newspaper article dated 08/09/1996 detailing the arrest of Ghislaine Maxwell on DWI charges.</p> <p>Numerous newspaper articles detailing the criminal</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>As stated previously, the information listed pertains to that of her father and brothers and there is no indication that she was involved in their actions.</p>