

Net Worth of Client: \$ 0.1 (USD millions)

Documentation/ Information obtained to confirm stated net worth of the Client: personal information provided by Epstein advisor, Eric Ganey

Source Of Wealth: Earned

Please Describe: through modelling assignments

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 :

Please check the types of account and expected activity for this legal entity (inflows and outflows of securities and cash) - check ALL that apply:

Account	Activity Level: Low (1-5 transactions/month) Medium (6-12 trs/month) High (over 12 trs/month)		
	Low	Medium	High
DDA/MMIA:	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
SDI:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Investment Management:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Funds:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Transaction Profile/Expected Account Activity
Checking account

Required Security Services Checks

Security Search Type: Full

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:
[REDACTED] was fully researched in New York only.

Reference the Due Diligence Report titled ([REDACTED]) for a (FULL) report on ([REDACTED]). No research was conducted on ([REDACTED]) under this particular DDR.

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

Attachment:

DDR # 061104 (no attachment)

Search Type	Is Further Review by	Security Service Details:	Banker Response: