

Ticket#		Account#	Initiated Date	01/30/2013 12:44 PM
Client Name	GHISLAINE MAXWELL	Account Title	Initiator	MARIA A COUTO
ECI		Account Type	Initiating Team	PB FRONT OFFICE
LOB	PB			

Verify & Confirm for Ghislaine Maxwell	
Final Risk Rating	Standard
Initial Risk Rating	Standard
GCS Report Requested	Full
Presence of Potential High Risk Indicators	Yes
Comments	
Summary of Risk Attributes	

Risk Updated History				
Creation Date	Entered by	Updated Risk	Previous Risk	Comment

GCS Grid		
Search Type	Security Service Details	Further Review Required
Company Information	No additional research necessary..	No
Corporate Records	No additional research necessary..	No
Other Database Searches (RDC/MIS/Factiva)	No records found.	No
Internal Database Search (CSSS/FPS)	Internal database search revealed prior GS&I research for Ghislaine Maxwell and Robert Maxwell and nothing derogatory information was reported.	No
State Court Searches	No additional research necessary.	No
Federal Court Searches	No additional research necessary.	No
Personal Particulars	No additional research necessary.	No
Publications	Information confirmed; details included in the attachment.	No
Regulatory Sanctions	No records found.	No
OFAC/Control List Search	A search of OFAC did not reveal any matches.	No
Negative or Inconsistent Information		No

GCS Red Dot	
Has this been identified as Red Dot KYC?	No
Negative Information Found	No

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.	Yes
Please state your rationale for conducting business with this client	Completed 3-year KYC update for existing client of Private Bank.
Comments	

Primary Information			
Client Type	Individual	Generation	
Client Status	Client	Active Indicator	
Front Office Restricted?	Normal	Marital Status	Single
Confidential Names?	No		
Country of Primary Domicile	UNITED STATES	Primary Domicile State	Florida
Prefix/Title		Insider Code (Reg. O)	
First Name	Ghislaine	Full Name	Ghislaine Maxwell
Middle Name		Gender	Female
Last Name	Maxwell	Date of Birth	12/25/1961
Suffix		Primary Country of Assets	UNITED STATES