

USCG Due Diligence Report - Corporation

DDR Name: 116 East 65th St., LLC ~

DDR Status: Process Completed

Banker Information

Banker:

Mary C Casey/JPMCHASE

LE/OU:

Banker SID:

Banker BAC:

Banker FNEN:

Banker History:

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

Banker

116 East 65th St., LLC

Air Ghislaine, Inc.

Air Ghislaine, Inc.

Darren K. Indyke PLLC

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Epstein, Jeffrey

Freedom Air International, Inc.

HBRK Associates Inc.

Hyperion Air, Inc.

I-Correct.com LLC

Jege, Inc.

LYN & JOJO LLC

MAX Foundation

Maxwell, Ghislaine

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 Haze Trust

Corporation Name/Contact Information

Casey, Mary C

Morris, Paul V

Morris, Paul V

Morris, Paul V  
Morris, Paul V  
Morris, Paul V  
Casey, Mary C  
Morris, Paul V

99/31167

U043917

8634--CHBG

01

Security Services Search Date

02/02/2009

02/05/2009

02/05/2009

10/17/2008

05/21/2003

12/10/2008

12/10/2008

04/16/2010

04/16/2010

03/07/2011

03/11/2010

10/17/2008

02/03/2009

01/30/2009

02/03/2009

07/31/2006

12/10/2009

03/31/2005

01/30/2009

12/01/2008

12/02/2008

11/25/2008

Only Select "New Client" if this entity will be a PCN.

Full Legal Corporate

Name:

116 East 65th St., LLC

(No P.O. Box address. Must be a physical address.)

JPMC Internal Use Only

Primary Corporate Address

Name:

Attention:

Address Line 1:

Address Line 2:

City:

State:

Province:

Postal/Zip Code:

Country:

Tax ID # :

Business Phone:

State of Domicile:

Where is the Company

Incorporated?

What document did you obtain to  
evidence state of domicile?

Articles of Incorporation,  
Partnership Agreement, etc

10065

UNITED STATES

301 East 66th St., Suite 10B

New York

NY

116 East 65th St., LLC

134138373

Remember to collect W-8's or other applicable tax forms for each  
jurisdiction.

( )NY

LLC

Operating Agreement

Introduction / Financial Information

Introduction Type:

Specific Information:

Have you met with the Principal/Authorized  
Individual?

If you did not meet with the  
Principal/Authorized Individual, please indicate  
why you have not met and when you will.

Legal Entity:

Limited Liability Corporation

What is the purpose for forming the LLC?

I have not met with Ms. Maxwell but know her advisor, Jeffrey  
Epstein. Jes Staley has met with Ms. Maxwell.

Limited Liability Company

The account holds Ghislaine Maxwell's NY residence and is used to pay  
real estate taxes and operating expenses.

Princpal Beneficial Owner(s)/Shareholder(s)

Identify the principal beneficial owner(s)/shareholder(s). If the entity is  
owned by an intermediate legal structure

(e.g. LLC or Partnership), list the ultimate individual beneficial owner(s).

A beneficial owner  
is any person on behalf of whom the account is maintained.

Last Name:

First Name:

Maxwell

Ghislaine

Source of wealth of the beneficial  
owner(s)/shareholder(s):

Source of wealth of the Partners:

Other

(Provide detailed and specific information)

Upon opening her account, Ms. Maxwell indicated that she is a real estate professional in NY. She is also the daughter of the late Robert Maxwell.

% of

Ownership

100

133784883

Other

SSN

DOB

Form of Govt Issued

ID Obtained

Passport

Related Client A/C

Jeffrey Epstein

(Please identify referral source, etc.)

Citizenship

UNITED STATES

Is this an operating company?

Entity/Client Net Worth:

\$ 10.00 (USD millions)

Documentation/ Information obtained to  
confirm stated net worth of the Entity/Client:

Industry Code:

The Business Type is the industry in which the  
client derives the majority of its income.

Her assets at JPM and our understanding of her balance sheet.

PRIVATE HOUSEHOLDS

NAIC Code: 814100

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

:  
Operational checking account to pay real estate taxes.

Other

If "Other" please describe

Transfer from existing account at JPM

\$15,000

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) -

Check deposits / Check paid -

Wire Incoming & Outgoing

-

Internal Transfers

Other

Please describe in detail expected account activity for this product :

Investment Products

(Custody, Brokerage, Agency, Margin)

Fiduciary

(Investment Mgmt. / Trust)

Credit type facilities

(Line of Credit, Mortgage, Letter of Credit)

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:

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

-  
-

Payment of real estate operating expenses.

Anticipated \$ Amount Totals per month – Please provide at least an estimate

Below \$1MM

Full

DDR originally created in ICG. Last report signed off by Security Services on 1/23/08.

Search Type

Is

Security Service Details:

Further

Review

Banker

Response:

by  
Banker  
Required?  
Company Information  
Corporate Records  
Other Database Searches  
(RDC/CDC/MIS)  
Internal Database Search  
(CSSS/FPS)  
State Court Searches  
No  
No  
No  
No  
No  
Federal Court Searches No  
Personal Particulars  
Publications  
Regulatory Sanctions  
No  
No  
No  
OFAC/Control List Search No  
No additional research necessary.  
No additional research necessary.  
No additional research necessary.  
Information confirmed; details included in the attachment.  
No additional research necessary.  
No additional research necessary.  
No additional research necessary.  
Publications revealed nothing derogatory.  
No records were found.  
No records were found.  
Has this been identified as a Red Dot DDR? :  
Expense No.:  
Total Costs:  
Signed by:  
Dated:  
99/31167  
\$0.00  
Aaron X Radvanyi  
02/02/2009 09:03:25 AM  
Background Checks conducted in addition to Security Services  
Background Check  
Date  
(Required If Check Carried  
Out)  
02/17/2009  
Comments  
(Required If Check Carried Out)

Ghislaine Maxwell is an existing client and a DDR was completed on her in 2003. This real estate account was created in the International DDR database in 2006, and this US DDR is to update her information on the US database. Ms. Maxwell is known to Jes Staley.

Summary

Summary Of Findings:

Ghislaine Maxwell is an existing client and a referral from Jeffrey Epstein.

This account

pays her real estate taxes and other expenses related to her NY residence of the same

address as the account title.

Ghislaine Maxwell is a "high profile figure" for two reasons: i) she is the daughter of the

late Robert Maxwell, who died under suspicious circumstances; and ii) she is a close friend

of Jeffrey Epstein and his office manages her affairs. On the latter, Mr. Epstein was

convicted of a felony and is currently serving a jail term. Jes Staley conferred with Steven

Cutler and the decision was made to keep him as a PB client but only for banking and

custody. On the former, we have no reason to believe that she had any participation in or

influence over the fraudulent activities of which her late father and brothers were once

accused in the UK.

Anticipated Product(s)

Deposits

Client Hierarchy Assignments

GRAY SHADED AREA CONTAINS SPN/CAS ID ASSIGNMENT INFORMATION

Banker SID

U043917

Banker BAC:

FNEN:

8634--CHBG

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Does the DDR have Multiple Entities?

Client Hierarchy and Additional Entity Assignment:

Name

116 East 65th St., LLC

Linked to DM Name

JEFFREY E. EPSTEIN

Date of Birth

.

.

Tax ID

Existing

CAS Id

134138373

SPN No

7704690

Contact Information for each entity named within the Client Hierarchy Table:

Associated Entity

Government issued

I.D Obtained

116 East 65th St., LLC

Do any of the above entities require a joint SPN?

Select Yes, if multiple entities will share the same account (OMNI, CASII or Olympic)

Tax ID #

134138373

.

0220476439

Linking to

DM Id

9710670708

CAS ID

0220476439

Citizenship

Does the DDR have Multiple Owners?

Name

Government issued

I.D Obtained

Attention

State

Citizenship

Address Line 1

Zip

Tax ID #

Date of Birth

Address Line 2

City

Province

Country

Approval Information

Public/High Profile Figure

Yes

If a Public/High Profile figure,  
please select one of the following:

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:

Area Head:

Mary C Casey/JPMCHASE

99/31167

Marcus Sheridan/JPMCHASE

Catherine Keating/JPMCHASE

Prominent person who is perceived to be controversial

No

No

No

Annual / Periodic Review Information

Annual/Periodic Review

Due in:

12 months

Banker Approval Information

Sponsorship affirmation -

Based on my due diligence and the information provided , I approve and accept sponsorship of 116 East 65th St., LLC ~

as a Client from inception and throughout the client relationship.

Mary C Casey 02/17/2009 10:26:27 AM

Senior Manager Approval Information

Based on the information provided and the approval granted by Mary C Casey, I approve the acceptance of 116 East 65th

St., LLC ~ as a Client.

Marcus Sheridan 02/24/2009 05:39:00 PM

Area Head Approval Information

Based on the information provided and the approval granted by Mary C Casey and Marcus Sheridan, I approve the

acceptance of 116 East 65th St., LLC ~ as a Client

Catherine Keating 02/26/2009 07:27:53 AM

Quality Reviewer Information

1st Quality Review Comment:

2nd Quality Review Comment:

3rd Quality Review Comment:

4th Quality Review Comment:

5th Quality Review Comment:

Admin Comments

Admin Comments:

By:

Date:

Admin Comments History :

Document History

Created: 01/23/2009

Last Modified: 02/26/2009

Submitted: 02/24/2009 05:39:00 PM

Recorded: 02/26/2009 07:28:38 AM

Audit History

9. 'Area Head Approval' performed by: Catherine Keating on: 02/26/2009 07:28:35 AM

8. Quality Review performed by: Bonnie K Perry on: 02/25/2009 01:56:41 PM

7. 'Senior Manager Approval' performed by: Marcus Sheridan on: 02/24/2009 05:39:04 PM

6. 'Banker Approval' performed by: Mary C Casey on: 02/17/2009 10:26:29 AM

5. Assign SPN/CAS ID/Tax ID performed by: Bonnie K Perry on: 02/11/2009 02:58:46 PM

4. Submitted for Banker Approval SS Type = Full performed by: Aaron X Radvanyi on: 02/02/2009 09:03:35 AM

3. Button: 'Print' performed by: Javia S Hairston on: 01/23/2009 11:39:02 AM

2. Button: 'Flag: Security Check has begun' performed by: Javia S Hairston on: 01/23/2009 11:38:58 AM

1. Submitted for Security Services Approval performed by: Maria A. Couto on:

01/23/2009 11:35:26 AM

Converted Tracking Document History:

Bonnie K Perry on 2/25/2009 1:56:28 PM Comments : Ok to approve.

By: Maria A. Couto

By: Catherine Keating

By: Marcus Sheridan

By: Catherine Keating

CN=Sharad Jajoo/O=JPMCHASE: 250509B.doc