

11/17/21 Patrick McHugh

[REDACTED]  
Anjan Sahni (WH)

Allison Stoddart (WH)

Ryan Kusmin → attorney at law investigations group, JP Morgan →

JP Morgan

- Executive Director - since April of 2017

Responsible for

works w/ service team & compliance team

Making sure processes are up to date

- JP Morgan - 30 years in total

Roles within JP Morgan - account services  
account opening

CX 505 - 10/99 account statement

Familiar w/ account services manager at that time

CX 503 account application

one page of a package of account entry  
documents

SPN/CAS are client specific identifiers

Compared exhibits to

imaged files on records & it was the same copy  
didn't print originals

505 - Sale of funds

that sale funded a transfer "for account of"  
Gisela Maxwell"

Asset account + portfolio offers broker execute services

- account is self directed, bank not involved

p 5 \$20 million invested in October, then \$5 million

↳ these funds were transferred from JP Morgan

504 - asset account statement

9/18 sale of \$5 million transfer to Palm Beach

for account of Gisela Maxwell

(2)

9/10 sale & transfer between

page 6

p 2 estimated since from account, calculated systematically

502 - account statement June 2007 previous clearing account  
previous clearing account = broked account

- offers interest

- this type of account doesn't exist anymore

- typical bank product

507 Signature card for X6312 account

June 15 account GM received figure of 7.4 million

bank breakfast with JE

other entry is bank reference in it

June 18 internal funds transfer to X4324 account

Internal funds transfer through JP Morgan

External transfers

501 - June statement for Air Guislaine 2007  
business clearing account

506 Scan sheet into imaging platform, TIN/IRS document

+ signature account cards & authorization

tax form would be provided by client, sometimes

~~signature~~

where

501 transfer in, then June internal wire to Stewsky

details would come from the client

(fax or letter or verbally)

Compared the records to JP Morgan to confirm accuracy

501-508 received them

Client doc manager, store imaged records

Compared exhibit to actual document in imaged system

of record to confirm all pages are accurate,

There are no deviations & in some cases

the documents had arrived w/in those records,

operator's specialist pulled those up in his presence

3

Confirmed accuracy of each page

Document Mgr. all documents are scanned/imaged  
and retained for certain periods, it is a  
imaged copy, cannot be modified or  
changed

Account statements were automatically loaded

Some documents manually fed

- Client documents, credit queries, credit product

JP Morgan has been using multiple imaging platforms  
over time since the early 2000s

↳ as a result of mergers & platform simplification,  
they've streamlined platforms

Doc manager is an application tied to client systems  
can pull up documents associated with account or  
account life

Connect is the client portal for accessing all activity,  
doc manager is a sub function that