



UBS Group AG
Legal-SLG Group

Eric J. Ryan
1285 Avenue of the Americas – 12th Floor
New York, NY 10019
Tel. + [redacted] 1
[redacted] n
[redacted] m

December 11, 2019

VIA EMAIL

Mark Lubin
Amanda Young
Federal Bureau of Investigation
26 Federal Plaza
New York, NY 10278
[redacted]

**Re: Subpoena issued to UBS Financial Services, Inc. dated August 16, 2019; Ghislaine Maxwell
Our Matter No.: 43581909-2019-1502**

Dear Mr. Mark Lubin:

On behalf of UBS Financial Services, Inc. ("UBS" or the "Firm"), this letter is in response to the Grand Jury Subpoena (the "Subpoena") in which you requested information and documentation with respect to the matter referenced above. Pursuant to our telephone call on September 24, 2019, you agree to accept account opening documents, account statements, copies of checks and wires, OLS Summaries and non-email and email correspondence to fully satisfy UBS's obligations under the Subpoena. Please note that my letter dated October 24, 2019 which enclosed responsive documents, including credit card statements, was not only on behalf of UBS Financial Services, Inc., but on behalf of UBS Bank USA as well. Enclosed please find a CD containing the items described within:

Description of Documents
Email Correspondence

UBS requests that, unless otherwise required by law or court order, said documents be kept confidential and not disclosed to any third party outside the context of the above referenced legal proceeding. UBS also requests advance notice of any decision to disclose any of the documents provided pursuant to this request. The CD is password protected. Please use WinZip to unzip and view the documents.

Please email me at [redacted] m upon receipt for the necessary password.

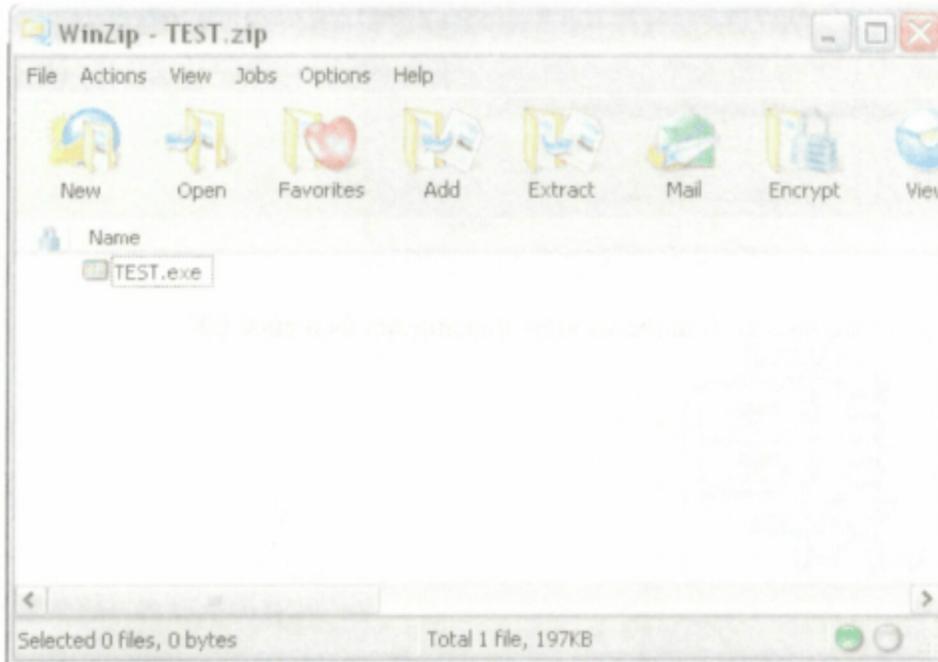
If you have any questions, please feel free to contact me.

Sincerely,

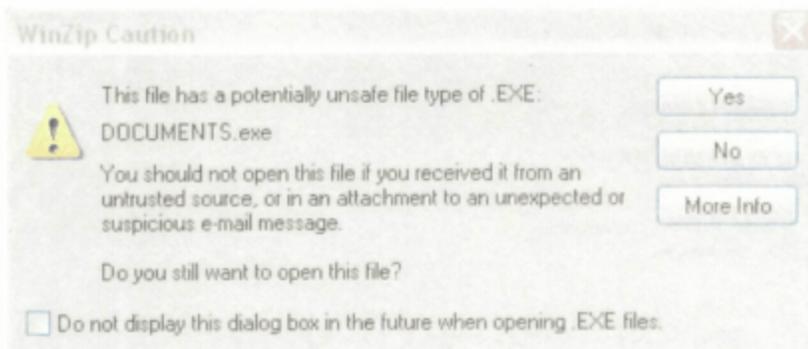
Eric Ryan
Paralegal

Data Extraction from Media

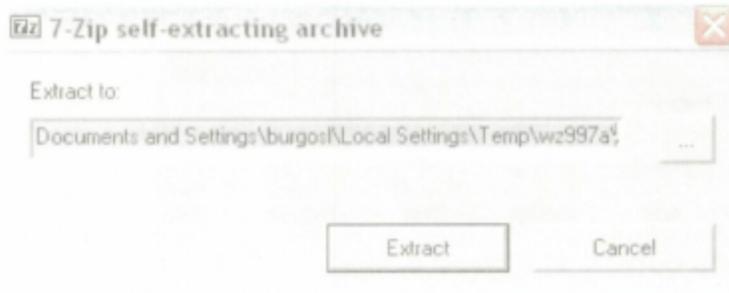
1. Double click to open the zip file contained on media. You will see a WinZip window appear with an executable file (see image)



2. Double click the executable file. Answer "Yes" to the WinZip Caution dialog box.



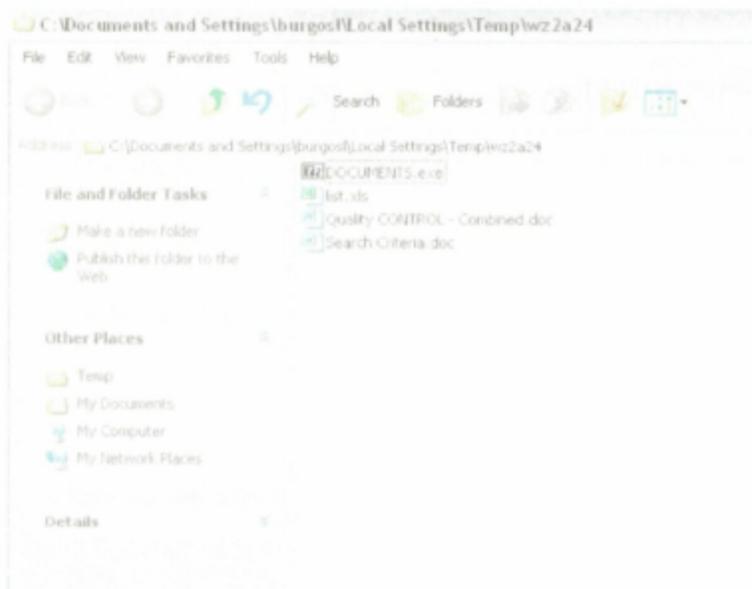
3. The following window will open and have a predefined path where the data will extract to. You can change this to any path desired by clicking the "...” button (recommended). Click Extract once you have the path you wish to use.



4. Enter provided password in the window that appears then click OK.



5. Once extraction is complete, navigate to the path chosen in step 3.





U.S. Department of Justice

*United States Attorney
Southern District of New York*

*The Silvio J. Mollo Building
One Saint Andrew's Plaza
New York, New York 10007*

August 16, 2019

UBS FINANCIAL SERVICES-LEGAL DEPARTMENT
SUBPOENAS, LEVIES & GARNISHMENTS

AUG 23 2019

UBS Financial Services, Inc.
1000 Harbor Blvd
8th Floor
Weehawken, NJ 07086
Attention: SLG (Subpoenas, Levies and Garnishments)

Re: Grand Jury Subpoena

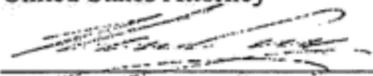
Please be advised that the accompanying grand jury subpoena has been issued in connection with an official criminal investigation of a suspected felony being conducted by a federal grand jury. The Government hereby requests that you voluntarily refrain from disclosing the existence of the subpoena to any third party. While you are under no obligation to comply with our request, we are requesting you not to make any disclosure in order to preserve the confidentiality of the investigation and because disclosure of the existence of this investigation might interfere with and impede the investigation.

Thank you for your cooperation in this matter.

Very truly yours,

GEOFFREY S. BERMAN
United States Attorney

By:


Maurene Comey
Assistant United States Attorney
Southern District of New York
(212) 637-2324

AUG 23 2019

Grand Jury Subpoena

United States District Court
SOUTHERN DISTRICT OF NEW YORK

TO: UBS Financial Services, Inc.
1000 Harbor Blvd
8th Floor
Weehawken, NJ 07086
Attention: SLG (Subpoenas, Levies and Garnishments)

UBS FINANCIAL SERVICES-LEGAL DEPARTMENT
SUBPOENAS, LEVIES & GARNISHMENTS

AUG 23 2019

GREETINGS:

WE COMMAND YOU that all and singular business and excuses being laid aside, you appear and attend before the GRAND JURY of the people of the United States for the Southern District of New York, at the United States Courthouse, 40 Foley Square, Room 220, in the Borough of Manhattan, City of New York, New York, in the Southern District of New York, at the following date, time and place:

Appearance Date: August 30, 2019 Appearance Time: 10 [REDACTED].

to testify and give evidence in regard to alleged violations of federal criminal law, including: 18 U.S.C. §§ 1591, 1594(c), 2422(b), 371

and not to depart the Grand Jury without leave thereof, or of the United States Attorney, and that you bring with you and produce at the above time and place the following:

SEE ATTACHED RIDER. **Personal appearance is not required** if the requested records are (1) produced by on or before the return date to Special Agent Amanda Young, Federal Bureau of Investigation, 26 Federal Plaza, New York, NY 10278, telephone (212) 384-1000, ayoung2@fbi.gov; and (2) accompanied by an executed copy of the attached Declaration of Custodian of Records. **Please contact Forensic Accountant Mark Lubin at (212) 384-8531 or Special Agent Amanda Young at (212) 384-1000 with any questions.**

Failure to attend and produce any items hereby demanded will constitute contempt of court and will subject you to civil sanctions and criminal penalties, in addition to other penalties of the Law.

DATED: New York, New York
August 16, 2019


GEOFFREY S. BERMAN
United States Attorney for the
Southern District of New York


Maureen Comey
Assistant United States Attorney
One St. Andrew's Plaza
New York, New York 10007
Telephone: 212-637-2324
Maureen.Comey@usdoj.gov



RIDER

(Grand Jury Subpoena to UBS, dated August 16, 2019)

Please provide from account inception to the present any and all records pertaining to the following accounts(s)/organization(s)/individuals(s), whether held jointly or severally or as trustee or fiduciary as well as custodian, executor, or guardian, to include all open and closed accounts. **Please provide all images of documents in Adobe PDF files on CDs. Additionally, please provide Data Transaction Files in Excel of all account statements.**

A. Please use the following identifiers:

NAME	GHISLAINE MAXWELL TERRAMAR PROJECT INC. ELLMAX LLC MAX FOUNDATION MAX HOTEL SERVICES CORP
DOB	12/25/1961
SSN	133-78-4883
ADDRESS	139A CHARLES ST APT 233, BOSTON, MA 116A E 65TH ST, NEW YORK, NY
PHONE	(917) 520-3106 (212) 535-6833 (212) 327-0131 (917) 573-9763 (305) 588-1998 (561) 655-4870 (212) 737-7975
EMAIL	[REDACTED] M
ACCT#	Y123656 (UBS – TERRAMAR) Y123680 (UBS – ELLMAX) Y123679 (UBS – MAXWELL) Y1 23661 (UBS – MAX FOUNDATION) Y123655 (UBS - MAX HOTEL)

B. Records to be produced should include but are not limited to the items listed below:

1. Documents (checks, debit memos, cash in tickets, wires in, wires out, etc.) reflecting additions and/or subtractions to the account and how the account balances are being satisfied on a monthly basis;

2. Signature cards;
3. Proof of identification (including but not limited to copies of identification used to open the account);
4. Location of withdrawals
5. Opening account(s) documents with attachments, including any and all applications, internal documents generated to open account(s), and identification information or other documentation provided by Customer;
6. "Know your customer" documentation;
7. Wire transfer records (incoming and outgoing, and any and all applications and instructions);
8. Safe deposit records, including applications, signature cards, and sign-in records;
9. Trust accounts;
10. Monthly statements;
11. Credit card statements;
12. Bank, travelers, or cashier checks drawn on account or purchased with an account check;
13. Prepaid debit cards, certified checks, cashiers' checks, money orders, and traveler's checks;
14. Loan, lease, and/or mortgage application files (whether granted or denied) including credit reports, applications, and payments made on loans;
15. Any and all corporate resolutions, certifications of incorporation, business certificates and/or partnership agreements;
16. Online banking information- All information regarding the electronic use of banking systems to include the following: username, registration IP address, online account creation date, online account status and IP logs/history, MAC addresses and online session times and duration; and
17. Any and all correspondence, electronic or otherwise, including memoranda, emails and text messages, that reference or concern items (1) through (16), above, and/or any financial interests involving the individuals and/or entities identified in Section A.

■: Personal appearance is not required if the requested records are (1) produced by on or before the return date to Special Agent Amanda Young, Federal Bureau of Investigation, 26 Federal Plaza, New York, NY 10278, telephone (212) 384-1000, anyoung2@fbi.gov; and (2) accompanied by an executed copy of the attached Declaration of Custodian of Records. PLEASE PROVIDE IN ELECTRONIC FORMAT IF POSSIBLE.

Please contact Forensic Accountant Mark Lubin at (212) 384-8531 or Special Agent Amanda Young at (212) 384-1000 with any questions.

IMPORTANT: REQUEST FOR NON-DISCLOSURE

Due to the ongoing nature of the investigation, it is requested that you do not disclose any information relating to this Grand Jury subpoena request to any third party.

Declaration of Custodian of Records

Pursuant to 28 U.S.C. § 1746, I, the undersigned, hereby declare:

My name is _____
(name of declarant)

I am a United States citizen and I am over eighteen years of age. I am the custodian of records of the business named below, or I am otherwise qualified as a result of my position with the business named below to make this declaration.

I am in receipt of a Grand Jury Subpoena, dated August 16, 2019, and signed by Assistant United States Attorney Maurene Comey, requesting specified records of the business named below. Pursuant to Rules 902(11) and 803(6) of the Federal Rules of Evidence, I hereby certify that the records provided herewith and in response to the Subpoena:

- (1) were made at or near the time of the occurrence of the matters set forth in the records, by, or from information transmitted by, a person with knowledge of those matters;
- (2) were kept in the course of regularly conducted business activity; and
- (3) were made by the regularly conducted business activity as a regular practice.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on _____
(date)

(signature of declarant)

(name and title of declarant)

(name of business)

(business address)

Definitions of terms used above:

As defined in Fed. R. Evid. 803(6), "record" includes a memorandum, report, record, or data compilation, in any form, of acts, events, conditions, opinions, or diagnoses. The term, "business" as used in Fed. R. Evid. 803(6) and the above declaration includes business, institution, association, profession, occupation, and calling of every kind, whether or not conducted for profit.



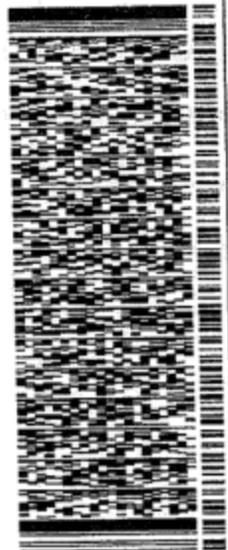
Express

ATTN: SIG SUBPOENAS LEWIS & KARRINSHMHE
UBS FINANCIAL SERVICES INC
1000 HARBOR BLVD, 8TH FLOOR

WEEHAWKEN NJ 07086

DEPT: M. LUBIUC38

REF: UBS FS INC JCMB



TUE - 20 AUG 3:J

STANDARD OVERNIGHT

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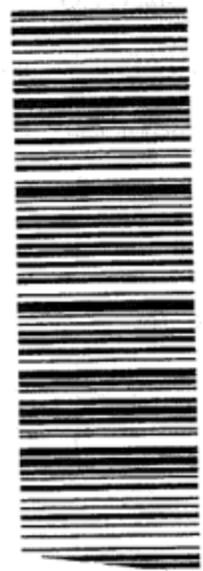
UBS

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201-352-3000

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1000 HARBOR BOULEVARD



08/20/2019 09:50 AM

MAILROOM 35

Instruction:

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