

Home Page Help Requestor Menu

Dow Jones Details Show Debug Info 

Details

Alert ID:	A170635377323	Alert Date:	15/06/2017
Score:	100%	Detection Check:	djw names
Best matches:	Data Source: Customer_NCA_web		
In FACTIVA PFA: 03_name = Jeffrey Epstein Fuzzy Match >= 85% Jeffrey Epstein			
Name:	Jeffrey Epstein	Street/Number:	
DOB/DOI:	[REDACTED]	Zip Code/City:	
Nationality:	United States	PEP Indicator:	<input type="checkbox"/>
Gender:		Customer ID:	
Country of Birth/Branch:	United States	Alerted Customer ID:	[REDACTED]
Country of Residence:	United States	Comments:	

Dow Jones Association Details

no rows found

Dow Jones Details

Title:	-	UID:	[REDACTED]
First Name:	Jeffrey	Active Status:	Active
Middle Name:	Richard	Entity Name:	-
Last Name:	Epstein	Address Country:	USA
Full Name:	Jeffrey Richard Epstein	Address City:	[REDACTED]
Gender:	Male	Address Line:	-
Deceased:	No	Entered:	01/04/2017 00:00:00
Record Type:	Individual	Updated:	01/04/2017 00:00:00

Names

no rows found

Dates

no rows found

Countries

Type	Country
Citizenship	Not Known
Resident of	United States

Description1

Description 1
Special Interest Person (SIP)

Description2

Description 2
Other Official Lists

Other Information

Content	Type
FINRA (US) Monthly Disciplinary Actions	Other Official Lists

Roles

no rows found

Profile Notes

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FINRA NOTES:

Individuals Barred or Suspended
Jeffrey Richard Epstein (██████████ Registered Principal, ██████████) submitted a Letter of Acceptance, Waiver and Consent in which he was suspended from association with any FINRA member in any capacity for 10 business days. In light of Epstein's financial status, no monetary sanctions have been imposed. Without admitting or denying the findings, Epstein consented to the described sanction and to the entry of findings that he exercised discretion in a customer's account without the customer's written authorization or his member firm's acceptance of the account as discretionary. The findings stated that Epstein's firm prohibited discretionary trading in these types of customer accounts. The suspension was in effect from April 16, 2012, through April 27, 2012. (FINRA Case ██████████)

External Sources

External Link

<http://www.finra.org/web/groups/industry/@ip/@enf/@da/documents/disciplinaryactions/p126288.pdf>

Images

no rows found

States

Status	Since Date	To Date
Current		

CONFIDENTIAL