

Profile Notes

FINRA NOTES:

Individuals Barred or Suspended

Jeffrey Richard Epstein (CRD #819226, Registered Principal, Bryn Mawr, Pennsylvania) 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 #2010023272301)

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		