



Person Name: Jeffrey Epstein Date of Birth: 01/20/1953
Address: Country: UNITED STATES
Tracking ID: KYC 1790655 Reporting ID:

Alerted Entity #: 2 of 2 Risk Priority: Critical Alert ID: 9477691.11602729.77100584

Entity Information

Entity ID: 77100584
Riskid: R110371734
Entity Name: Jeffrey Richard Epstein
Address: Bryn Mawr, Pennsylvania, UNITED STATES
Recent Event(s): • REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/16/2012
Jeffrey Richard Epstein 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. 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., 04/16/2012, [Financial Industry Reg. Auth. \(FINRA\) Disciplinary Actions 2012](#)
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Alert Notes

Notes: Jeffrey Richard Epstein of Bryn Mawr, Pennsylvania, UNITED STATES, was suspended from association with any FINRA member in any capacity for 10 business days for exercised discretion in a customer's account without the customer's written authorization or his member firm's acceptance of the account as discretionary.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=6c75b07ccf9235b45d3f3d53eb346cc4>
Source Name: RiskConnect, 06/15/2017
Entity URL: <http://www.finra.org/web/groups/industry/@ip/@enf/@da/documents/disciplinaryactions/p126288.pdf>
Sources: Financial Industry Reg. Auth. (FINRA) Disciplinary Actions 2012, Financial Industry Reg. Auth. (FINRA) Disciplinary Actions 2012, <http://www.finra.org/industry/disciplinary-actions>