



DB12000P - Deutsche Bank Private Bank

Batch Date: 10/12/2016

Added to Monitoring: 10/12/2016

Alert Date:

Alert

10/12/2016

Person Name: Jeffrey Epstein

Date of Birth: 01/20/1953

Address: Country:United States

Tracking ID: GCIS 00000483289

Reporting ID: KYC 01651789

Alerted Entity #: 2 of 3

Alert ID: 6472545.11593674.64722293

Entity Information

Entity ID: 64722293

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](#)

Event: • REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/16/2012

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Alert Notes

Notes: Jeffrey Richard Epstein, of 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.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=9430b4b9ad8d51b65d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Entity URL: • <http://www.finra.org/Industry/Enforcement/DisciplinaryActions/MonthlyActions/2012/index.htm>
• <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/Enforcement/DisciplinaryActions/MonthlyActions/2012>