

Norkom 6.1.0 - Dow Jones Details

Page 1 of 2

Home Page Help Requestor Menu

Dow Jones Details

Show Debug Info

Details

Alert ID:

Score:

A170635377323

100%

Best matches:

In FACTIVA PFA: 03_name = Jeffrey Epstein Fuzzy Match >=

85% Jeffrey Epstein

Name:

DOB/DOI:

Nationality:

Gender:

Country of Birth/Branch:

Country of Residence:

Jeffrey Epstein

20/01/1953

United States

United States

United States

Dow Jones Association Details

no rows found

Dow Jones Details

Title:

First Name:

Middle Name:

Last Name:

Full Name:

Gender:

Deceased:

Record Type:

Names

no rows found

Dates

no rows found

Description1

Description 1

Special Interest Person (SIP)

Roles

no rows found

Countries

Type

Citizenship

Resident of

Description2

Description 2

Other Official Lists

Country
Not Known
United States
Other Information
Content
FINRA (US) Monthly Disciplinary
Actions
Type
Other Official
Lists

-
Jeffrey
Richard
Epstein
Jeffrey Richard Epstein
Male

No
Individual
UID:
Active Status:
Entity Name:
Address Country:
Address City:
Address Line:
Entered:
Updated:
3073745
Active

-
USA
Bryn Mawr;Pennsylvania

-
01/04/2017 00:00:00
01/04/2017 00:00:00
Alert Date:
Detection Check:
Data Source:
15/06/2017
djw names
Customer_NCA_web
Street/Number:
Zip Code/City:
PEP Indicator:
Customer ID:
Alerted Customer ID:
Comments:
8000000038407114
https://aml.cit.gto.intranet.db.com/norkom_pcr_de/screen/view.do?_csrfToken=kAwfh_Xlj...
6/16/2017

Norkom 6.1.0 - Dow Jones Details

Page 2 of 2

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/pl26288.pdf>

Images

no rows found

States

Status

Current

Since Date

Copyright 1998-2010 Norkom Technologies Ltd. All rights reserved.

To Date

DB_scr_FactivaDetails

https://aml.cit.gto.intranet.db.com/norkom_pcr_de/screen/view.do?csrftkn=kAwfh_Xlj...

6/16/2017