

Is this entity a Private Equity Fund (Venture Capital Fund or Leveraged Buyout)?	No
Is this a Hedge Fund? (Pooled investment vehicles (often partnerships) that primarily invest financial capital of third party investors in enterprises that are too risky for the standard capital markets or bank loans.)	No
Is this a Cash Intensive business? (Cash-intensive businesses/entities exist in various industry sectors and include, but are not limited to convenience stores, grocery stores, restaurants, bars, retail stores, liquor stores, cigarette distributors, privately owned ATMs, vending machine operators and parking garage operators.)	No
Is this entity any of the following business types?	aa. None of the above
Is the Entity a Personal Holding Company (PHC) or Personal Investment Company (PIC) located in an offshore jurisdiction?	No

### Business Case

Please specify why you are comfortable with this client given the identified risk factor(s). Your answer is your "business case" and should detail all mitigating factors.	We are in the process of exiting the client from the firm - senior mgmt is aware and has communicated as such to the client - accounts are in transition now.
Provide client history/detail, including when the relationship was established, how it came to be in PB/PWM, client's association with other JPM LOBS, etc.	We are in the process of exiting the client from the firm.
Client known to whom (JPMorgan employees), how well, and how long:	We are in the process of exiting the relationship from the firm.
Overall PB/PWM relationship size and type of accounts:	We are in the process of exiting the client from the firm.
Is this a shared client, what other LOB has a relationship with the client? Provide relationship manager name (if known), client of other LOB since (date), and relationship size?	No - we are in the process of exiting the client from the firm.
When was the last time you met the client? What was the reason for the meeting?	Client conversation with senior mgmt (John Duffy) past quarter where client was asked to leave the firm. This has been in execution stage for past few weeks.
Describe any significant changes in the client's information or material events that may have occurred over the last year (Examples: address changes, change in authorized persons on accounts, change in account type, change in business, change in net worth, etc.).	Client is moving assets from the firm and closing accounts - transition is active.
Cash Activity: Summarize client cash activity during the period reviewed and explain the purpose / use of the funds:	See above - relationship is leaving the firm.
Wire Activity: Summarize client wire activity during the period reviewed and explain the purpose / use of the funds, including any international/cross border wires:	See above - relationship is leaving the firm.
Before answering the following question please review the Annual Account History Activity Summary Report that has been attached in the Summary tab. Did the actual transaction activity appear reasonable, normal, and expected for the type of business or industry in which the client engages?	Yes
Was the nature, value, and volume of actual transaction activity consistent with expected transaction activity?	Yes
Was any unusual or potentially suspicious transaction activity detected?	No
Additional Comments	As noted above - senior management has asked the client to leave the firm and move their business to another institution - in progress. All a/c activity related to movement of assets from JP Morgan PB.

### Expected Activity

Deposit Account(s)		
Transaction Types	Expected Activity Levels	Anticipated Dollar Amount Totals per Month
Cash Deposits	Low (1-10)	<\$10,000
Cash Withdrawals	Low (1-10)	<\$10,000
Check Deposits	Low (1-10)	<\$10,000
Checks Paid	Low (1-10)	<\$10,000
Incoming Wires (Domestic)		
Outgoing Wires (Domestic)		
Incoming Wires (International)		
Outgoing Wires (International)		
ACH Deposits		
ACH Payments	Low (1-10)	\$10,000 TO \$50,000
Internal Transfer (Debits/Credits)	Low (1-10)	\$50,001 TO \$100,000
Asset Purchases/Sales		
What is the initial/ongoing source of funding for the client's Deposit Account(s) ?		
This is a 3 year review. The account has already been funded. Any ongoing source of funding will be from assets obtained through personal investments and from internal transfer of funds from personal account held at JPMorgan.		
What is the purpose/intended use of account(s)? Please provide a detailed description of how the Deposit Account(s) will be used by the client.		
The purpose of this account is to pay day to day expenses that the LLC incurs.		
Review the activity for the period overall and explain how the client's transaction profile agrees with or doesn't agree with expectations for the client based on the client relationship (purpose of accounts, occupation, business activity, etc.):		