

We added low activity for checking/deposits and ACH activity.
Was expected activity for the client modified in the transaction activity section of the KYC ticket?
No

Additional Client Information
Please include any additional information that would further explain your knowledge of the client (family tree/history, public information, websites, etc.)
Jeffrey Epstein has been an active trading client and keeps most of his liquidity with us. Total assets over \$100MM. Both Mary Erdoes and John Duffy are aware of the relationship.

Comment History			
Stage Name	Creation Date	Entered By	Comment Preview
Market Manager Approval	11/20/2013 02:13 PM	ALMA DEMETROPOLIS	Please reroute to Tad/Marc.
MM/Banker Comments	12/06/2013 03:45 PM	WILLIAM M SHERIDAN	We will be exiting this relationship.
CEO Approval	12/15/2013 07:27 AM	JOHN R DUFFY	account approved to facilitate exit

Approval History			
Stage Name	Signoff Date	Owner SID	Owner Name
Banker Attestation	10/30/2013 11:48 AM		WILLIAM M SHERIDAN
Market Manager Approval	11/20/2013 02:13 PM		ALMA DEMETROPOLIS
Market Manager Approval	12/09/2013 03:05 PM		ALMA DEMETROPOLIS
Regional Director Approval	12/09/2013 05:30 PM		VINCENT A LA PADULA
CEO Approval	12/15/2013 07:27 AM		JOHN R DUFFY