

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 mentioned above - this relationship is now in the process of exiting JP Morgan.

### Expected Activity

#### Deposit Account(s)

Transaction Types	Expected Activity Levels	Anticipated Dollar Amount Totals per Month
Cash Deposits		
Cash Withdrawals		
Check Deposits	Low (1-10)	<\$10,000
Checks Paid	Low (1-10)	<\$10,000
Incoming Wires (Domestic)	Low (1-10)	\$50,001 TO \$100,000
Outgoing Wires (Domestic)	Low (1-10)	\$50,001 TO \$100,000
Incoming Wires (International)		
Outgoing Wires (International)		
ACH Deposits		
ACH Payments		
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) ?

The initial funding amount was a \$60,000 Other = Wire. Ongoing will come from his PLLC account with the PB.

#### 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 be used for an IRA account and to pay the administrative flows and fees.

#### 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.):

The account has been reviewed.

#### Was expected activity for the client modified in the transaction activity section of the KYC ticket?

Yes

#### If modified, explain.

Yes, we added checks deposits and paid. Low activity for the account.

#### Client Directed Asset / Brokerage Account(s)

Transaction Types	Expected Activity Levels	Anticipated Dollar Amount Totals per Month
Cash Deposits		
Cash Withdrawals		
Check Deposits		
Checks Paid		
Incoming Wires (Domestic)	Low (1-10)	\$500,001 TO \$1,000,000
Outgoing Wires (Domestic)	Low (1-10)	\$500,001 TO \$1,000,000
Incoming Wires (International)		
Outgoing Wires (International)		
ACH Deposits		
ACH Payments		
Internal Transfer (Debits/Credits)		
Asset Purchases/Sales		

#### What is the initial/ongoing source of funding for the client's Client Directed Asset / Brokerage Account(s) ?

The initial funding has already taken place. Ongoing will come from his PLLC account with the PB.

#### What is the purpose/intended use of account(s)? Please provide a detailed description of how the Client Directed Asset / Brokerage Account(s) will be used by the client.

IRA Account

Buy and hold investments for his IRA account.

#### 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.):

Expected activity/account has been reviewed and any adjustments have been made.

#### 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.)