Cash Activity: Summarize client cash activity during the period reviewed and explain the purpose / use of the funds:	Client is exiting 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:	Client is exiting 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	At the request of sr management client is exiting the firm.

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 TO $50,000
Checks Paid	Low (1-10)	$10,000 TO $50,000
Incoming Wires (Domestic)		
Outgoing Wires (Domestic)		
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 Deposit Account(s) ?

Funding amount: 18,000Other = Other
Other Detail:
Transfer of account from Chase retail

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.

Checking account for charitable foundation

Occasional charitable contributions

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.):

Client is associated with the Epstein relationship and is in the process of being exited.

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.)

This is an existing account which is being transferred from Retail into PB.

Comment History

Stage Name	Creation Date	Entered By	Comment Preview
Market Manager Approval	11/20/2013 01:49 PM	ALMA DEMETROPOLIS	Please redirect to Tad Smith/Marc Sheridan and confirm whether the comments above of moving account from Retail to PB is valid if we are exiting.
MM/Banker Comments	12/06/2013 03:47 PM	WILLIAM M SHERIDAN	We will be exiting this relationship.
CEO Approval	12/15/2013 07:22 AM	JOHN R DUFFY	approved to facilitate exit

Approval History

Stage Name	Signoff Date	Owner SID	Owner Name
Banker Attestation	11/08/2013 08:50 AM	[redacted]	WILLIAM M SHERIDAN
Market Manager Approval	11/20/2013 01:49 PM	[redacted]	ALMA DEMETROPOLIS
Market Manager Approval	12/09/2013 03:06 PM	[redacted]	ALMA DEMETROPOLIS