

Client/Prospect	Client/Prospect Category	Reason	Date	Outcome	Additional Comments	Follow up Y/N	Follow up Complete Y/N	F/U Action, due date
Jeffrey Epstein	Existing Client	The Firm's AML Director (William Langford) has expressed concern over the possibility that Mr. Epstein is under investigation for human trafficking.	1/7/2011	Discussions to be held with William and Nina to determine how to approach the issue with Jes Staley, who is friends with Epstein. He needs to understand the potential backlash to the firm given all of the work done to root out clients involved in human trafficking.	AML Ops has conducted extensive research to root out clients involved in human trafficking. William Langford is requiring that if the business decides to proceed, then re-approval by Steve Cutler will be required.	Y		1/28/11 - Follow up to see if meeting with Jes has taken place and the LOB's decision for re-approval.  3/15/2011:  Paul Morris spoke with JE. The SBLC will not be renewed.