

## BrokerCheck Report

**TIM LEISSNER**

CRD# 3146057

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**TIM LEISSNER**

CRD# 3146057

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is not currently registered.**

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 0 State Securities Law Exams

### Registration History

**This broker was previously registered with the following securities firm(s):**

**B** **GOLDMAN, SACHS & CO.**  
 CRD# 361  
 LOS ANGELES, CA  
 04/1999 - 03/2016

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	4
Criminal	2
Termination	1

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	03/07/2016
<b>B</b> General Securities Representative Examination	Series 7	03/20/1999

### State Securities Law Exams

Exam	Category	Date
No information reported.		

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/1999 - 03/2016	GOLDMAN, SACHS & CO.	361	LOS ANGELES, CA

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
11/2011 - Present	GOLDMAN SACHS (ASIA) L.L.C.	PARTICIPATING MANAGING DIRECTOR	Y	HONG KONG, Hong Kong
12/2004 - Present	GOLDMAN SACHS (ASIA) LLC	MANAGING DIRECTOR	Y	HONG KONG, China

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	4	0
Criminal	1	1	0
Termination	N/A	1	N/A





## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	09/30/2022
<b>Docket/Case Number:</b>	<a href="#">19-00231</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	n/a
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Respondent Leissner failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Letter



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:** 09/30/2022

**Sanctions Ordered:** Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### **Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	Indefinite
<b>Start Date:</b>	09/30/2022
<b>End Date:</b>	

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Leissner is suspended on September 30, 2022 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

**Disclosure 2 of 4****Reporting Source:**

Regulator

**Regulatory Action Initiated By:**

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:**

Cease and Desist

**Date Initiated:**

12/16/2019

**Docket/Case Number:**

3-19619

**Employing firm when activity occurred which led to the regulatory action:**

Goldman Sachs &amp; Co. LLC.

**Product Type:**

Other: bond offerings bribes and kickbacks

**Allegations:**

SEC Admin Releases 34-87750, IA 40-5418, Investment Company Act 40-33715, and Auditing Enforcement 4108 / December 16, 2019: The Securities and Exchange Commission deems it appropriate and in the public interest that public administrative proceedings be instituted against Tim Leissner ("Respondent" or "Leissner"). On the basis of this Order and Respondent's Offer, the Commission finds that this matter relates to a massive corruption scheme perpetrated by Leissner while acting as a senior executive of The Goldman Sachs Group, Inc. ("Goldman Sachs" or the "Company"). Leissner, in coordination with other Goldman Sachs senior executives, authorized and paid bribes and kickbacks to government officials in Malaysia and the Emirate of Abu Dhabi ("Abu Dhabi") in order to secure lucrative business for Goldman Sachs. Leissner's actions resulted in violations of the anti-bribery, books and records and circumvention of internal accounting controls provisions of the Foreign Corrupt Practices Act ("FCPA"). 1Malaysia Development Berhad ("1MDB") is a Malaysian state-owned and controlled investment fund created to pursue projects for the economic benefit of Malaysia and its people. Between approximately 2009 and 2014, as 1MDB raised capital to fund its projects, billions of dollars were diverted from 1MDB. The diverted funds included a substantial portion of the approximately \$6.5 billion in capital that 1MDB raised in 2012 and 2013 through three bond offerings that it executed with Goldman Sachs (the "bond deals"). As part of the scheme, Leissner and others bribed government officials in Malaysia and in Abu Dhabi to obtain and retain lucrative business for Goldman Sachs, including the 2012 and 2013 bond deals, from which Goldman Sachs earned approximately \$600 million. Leissner



willfully violated Section 30A of the Exchange Act by directly participating in the bribery scheme. He also caused Goldman Sachs's books and records to not, in reasonable detail, accurately or fairly reflect the transactions and dispositions of the company's assets in violation of Section 13(b)(2)(A) of the Exchange Act, and he willfully aided and abetted violations of that Section. Additionally, Leissner willfully violated Section 13(b)(5) of the Exchange Act and Rule 13b2-1 thereunder by knowingly circumventing what internal accounting controls Goldman Sachs had in place in order to both advance and conceal the corrupt scheme.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 12/16/2019

**Sanctions Ordered:** Bar (Permanent)  
Cease and Desist  
Disgorgement  
Prohibition

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** Yes



**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

Yes

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

Yes



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

No

#### Sanction 1 of 2

**Sanction Type:** Bar (Permanent)  
**Capacities Affected:** participating in any offering of a penny stock  
**Duration:** Indefinite  
**Start Date:** 12/16/2019  
**End Date:**

#### Sanction 2 of 2

**Sanction Type:** Bar (Permanent)  
**Capacities Affected:** any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO,  
**Duration:** Indefinite  
**Start Date:** 12/16/2019  
**End Date:**

#### Monetary Sanction 1 of 1

**Monetary Related Sanction:** Disgorgement  
**Total Amount:** \$43,700,000.00  
**Portion Levied against individual:** \$43,700,000.00

**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:****Regulator Statement**

Respondent has submitted an Offer of Settlement (the Offer) which the Commission has determined to accept.

In view of the foregoing, the Commission deems it appropriate in the public interest to impose the sanctions agreed to in the Respondent's Offer. Accordingly, it is hereby ordered that Respondent cease and desist from committing or causing any violations and any future violations of Sections 30A, 13(b)(2)(A), and 13(b)(5) of the Exchange Act and Rule 13b2-1 thereunder. Respondent is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization (NRSRO); prohibited from serving or acting as an employee, officer, director, member of an advisory board, investment adviser or depositor of, or principal underwriter for, a registered investment company or affiliated person of such investment adviser, depositor, or principal underwriter; and barred from participating in any offering of a penny stock, including: acting as a promoter, finder, consultant, agent or other person who engages in activities with a broker, dealer or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock. Any reapplication for association by the Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors, including, but not limited to, compliance with the Commission's order and payment of any or all of the following: (a) any disgorgement or civil penalties ordered by a Court against the Respondent in any action brought by the Commission; (b) any disgorgement amounts ordered against the Respondent for which the Commission waived payment; (c) any arbitration award related to the conduct that served as the basis for the Commission order; (d) any self-regulatory organization arbitration award to a customer, whether or not related to the conduct that served as the basis for the Commission order; and (e) any restitution order by a self-regulatory organization, whether or not related to the conduct that served as the basis for the Commission order.

Respondent shall pay to the Commission disgorgement of \$43,700,000. The amount of this obligation shall be reduced and deemed satisfied by the amount of Respondent's criminal forfeiture in United States v. Leissner, Cr. No. 18-CR-439 (MKB) (E.D.N.Y. 2018) up to and including the entire amount of this obligation.

Respondent has pleaded guilty to criminal conduct relating to the findings in the





Order. Specifically, in United States v. Leissner, Cr. No. 18-CR-439 (MKB) (E.D.N.Y. 2018) Respondent pleaded guilty to one count of Conspiracy to Violate the FCPA and one count of Conspiracy to Commit Money Laundering. As part of his guilty plea, Leissner agreed to forfeit \$43,700,000.

Respondent has also entered into a parallel civil settlement with the Board of Governors of the Federal Reserve System (the "Federal Reserve Board") concerning some of the findings in the Order. Specifically, in In the Matter of Tim Leissner, Docket No. 19-008-E-I (Mar. 11, 2019), Leissner agreed to pay a civil money penalty of \$1,425,000.

Respondent acknowledges that the Commission is not imposing a civil penalty based upon (a) Respondent's guilty plea as part of his resolution with the United States Department of Justice, and (b) the imposition of a civil money penalty as part of the settlement with the Federal Reserve Board.

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	09/11/2017
<b>Docket/Case Number:</b>	<a href="#">2016049149601</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Goldman, Sachs & Co.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Leissner consented to the sanction and to the entry of findings that he failed to provide FINRA-requested documents and information during the course of an investigation concerning certain representations he made in a reference letter he provided to a financial institution that were allegedly both inaccurate and unauthorized by his member firm.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

09/11/2017

**Sanctions Ordered:**

Bar (Permanent)

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### **Sanction 1 of 1**

**Sanction Type:** Bar (Permanent)

**Capacities Affected:** all capacities

**Duration:** Indefinite

**Start Date:** 09/11/2017

**End Date:**



#### Disclosure 4 of 4

<b>Reporting Source:</b>	Firm
<b>Regulatory Action Initiated By:</b>	Monetary Authority of Singapore
<b>Sanction(s) Sought:</b>	Prohibition
<b>Date Initiated:</b>	03/13/2017
<b>Docket/Case Number:</b>	N/A
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Goldman Sachs (Asia) L.L.C.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	According to a press release by the Monetary Authority of Singapore, "Mr. Leissner was found to have issued in June 2015 an unauthorized letter to a financial institution based in Luxembourg, and to have made false statements on behalf of Goldman Sachs (Asia) L.L.C., without the firm's knowledge."
<b>Current Status:</b>	Final
<b>Resolution:</b>	Prohibition Order
<b>Resolution Date:</b>	03/13/2017
<b>Sanctions Ordered:</b>	Prohibition Other: None
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	Prohibited from performing any regulated activity under the SFA and from managing any capital markets services firm in Singapore
<b>Duration:</b>	10 years
<b>Start Date:</b>	03/13/2017
<b>End Date:</b>	03/13/2027



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Formal Charges were brought in:</b>	Federal Court
<b>Name of Court:</b>	the United States District Court for the Eastern District of New York
<b>Location of Court:</b>	New York
<b>Docket/Case #:</b>	1:18-CR-439
<b>Charge Date:</b>	06/07/2018
<b>Charge(s) 1 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Money Laundering Conspiracy, in violation of T. 18, U.S.C., § 1956(h).
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	plead guilty
<b>Disposition of charge:</b>	Convicted
<b>Charge(s) 2 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Conspiracy to Violate the Foreign Corrupt Practices Act, in violation of T. 18, U.S.C., § 371
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	pled guilty
<b>Disposition of charge:</b>	Convicted
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/28/2018
<b>Disposition Date:</b>	08/28/2018
<b>Sentence/Penalty:</b>	Scheduling Order as to Tim Leissner - Sentencing set for June 11, 2020, at 10:00 AM in Courtroom 6F North before the Honorable Judge.



<b>Reporting Source:</b>	Firm
<b>Formal Charges were brought in:</b>	Federal Court
<b>Name of Court:</b>	United States District Court for the Eastern District of New York
<b>Location of Court:</b>	New York City, NY
<b>Docket/Case #:</b>	Cr. No. 18-439 (MKB)
<b>Charge Date:</b>	11/01/2018
<b>Charge(s) 1 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Conspiracy to Commit Money Laundering - Contrary to Title 18, Section 1956(a)(2)(A), (B)(i), and 1957(a).
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Pled guilty, according to a DOJ press release
<b>Disposition of charge:</b>	Pled guilty
<b>Charge(s) 2 of 2</b>	
<b>Formal Charge(s)/Description:</b>	Conspiracy to Violate the FCPA - Contrary to Title 15, Sections 78dd-1, 78dd-2, 78dd-3, 78ff(a), 78ff(c)(2)(A), 78m(b)(2)(B), 78m(b)(5).
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Pled guilty, according to a DOJ press release
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	11/01/2018
<b>Disposition Date:</b>	11/01/2018
<b>Sentence/Penalty:</b>	According to a DOJ press release, there has been an order of criminal forfeiture of \$43.7 million.



## Criminal - Pending Charge

This type of disclosure event involves a formal charge for a crime involving a felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently pending.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Formal Charges were brought in:</b>	Foreign Court
<b>Name of Court:</b>	Kuala Lumpur Magistrates Court
<b>Location of Court:</b>	Kuala Lumpur, Malaysia
<b>Docket/Case #:</b>	N/A
<b>Charge Date:</b>	12/17/2018
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Alleged violations by the former representative of Section 370(c) of the Malaysia Capital Markets and Services Act of 2007 [Act 671], by allegedly abetting others in violations of Section 179(c) of the same Act, in connection with misleading statements and omissions in 1MDB offering circulars.
<b>No of Counts:</b>	4
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Unknown
<b>Disposition of charge:</b>	
<b>Current Status:</b>	Pending
<b>Status Date:</b>	



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	Goldman Sachs (Asia) L.L.C.
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	02/23/2016
<b>Allegations:</b>	On January 19, 2016 the firm interviewed the representative with respect to inaccurate and unauthorized statements made by him in a June 2015 reference letter provided to a non-U.S. financial institution that he wrote on behalf of a foreign affiliate of the firm, without the affiliate's or the firm's knowledge or approval. At the close of the interview, the firm placed the representative on leave. The representative tendered his notice of retirement the next day. The firm accelerated the end of his contractual notice period to the termination date reported herein.
<b>Product Type:</b>	No Product



## End of Report



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