

Subject: Your KYC has been rejected
From: Janice Franklin <[REDACTED]>
Date: Wed, 30 Oct 2013 17:43:57 -0400
To: Amanda Kirby <[REDACTED]>

Your KYC has been rejected.

Case #: [REDACTED]
Relationship: EPSTEIN, JEFFREY RELATIONSHIP
Customer Name: Indyke, Darren
Customer Number: [REDACTED]

Reason for Rejection: Please address the following:

For The 2007 Jeffrey E. Epstein Insurance Trust #3:

1. Please complete Wealth Profile (Resolved: J. Franklin)
2. Re-run searches with correct country. Should be US Virgin Islands, not United States. (Resolved - J. Lightbody)

For HBRK Associates, Inc. (both accounts)

1. Please check the Signatory or Full POA box for the signers. (Resolved - J. Lightbody)

For Darren K. Indyke PLLC:

1. Please check the Signatory or Full POA box for the signers. (Resolved - J. Lightbody)
2. For the Attorney Trust Account. Is this a IOLA account, and if so, please explain purpose of the checking. Currently it's noted that it will be "for the daily use of the company's needs". If this is a clients esrow account this purpose would not apply. (Resolved - J. Lightbody)

For New York Strategy Group, LLC (both account);

1. Please check the Signatory or Full POA box for the signers. (Resolved - J. Lightbody)

Additional questions/comments:

1. I did not clearly understand whether Richard Kahn was permanently barred from NYSE Arca membership. Please add more details.
2. For HBRK Associates Inc, please have secretary certify Schedule G of Form 1120 showing ownership of the company (Resolved: J. Franklin)
3. For NY Strategy Group LLC, please provide us with the following:
 - i. evidence of powers
 - ii. ownership (Resolved: J. Franklin)
 - iii. signing authority (Resolved: J. Franklin)
4. Is Mr. Indyke an accountant (per KYC) as well as a lawyer? Please correct KYC if he is not an accountant and please run Martindale-Hubbell. (Resolved: J. Franklin)

To view the KYC click here <https://na4.salesforce.com/5006000000T1JGX>