

**Confidential Due Diligence Report – YHS LLC**  
**REGULATORY SANCTIONS**

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\* \* \* COLLECTED AND COMPILED BY MORTGAGE ASSET RESEARCH INSTITUTE, INC. \* \* \*

PARTY: EPSTEIN, JEFFREY

\* \* \* \* \* INCIDENT INFORMATION \* \* \* \* \*

CASE NUMBER: 02-03451

JURISDICTION: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

SOURCE: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

DATE: 8/ 6/2003

Other Incident Info: CASE NAME: RAYMOND, JAMES & ASSOCIATES, CLAIMANT, VS. JEFFREY EPSTEIN, RESPONDENT. The individual(s) or company(ies) listed in this report were party to a National Association of Securities Dealers (NASD) arbitration award. Being party to the arbitration award does not necessarily mean that the individual(s) or company(ies) have been found to have violated any code or regulation.

EPSTEIN, JEFFREY

Action: NASD ARBITRATION

HARDCOPY: FOR A COPY OF THE SOURCE DOCUMENT(S), CONTACT MARI AT [REDACTED].

HARDCOPY ORDER NUMBER: NASA038G-01182857

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