

**NON-INVESTOR CLIENT QUESTIONNAIRE**

All questionnaires must be submitted by no later than **June 4, 2010**. You may send your response via e-mail (to [Karin.Lucier@IC.FBI.gov](mailto:Karin.Lucier@IC.FBI.gov)) or facsimile (305-787-6261). Or you may mail it to the following address:

**Federal Bureau of Investigation  
Attention: Karin Lucier  
16320 NW 2<sup>nd</sup> Avenue  
North Miami Beach, Florida 33169**

<b>Name</b>	
<b>Corporate Entity invested through (if applicable)</b>	
<b>Date of Birth</b>	
<b>Cellular Telephone Number</b>	
<b>Work Telephone Number</b>	
<b>E-Mail Address</b>	
<b>Street Address</b>	
<b>Driver's License #</b>	

**1) Detail the nature of your relationship with Scott W. Rothstein and/or RRA. If multiple options apply, please indicate.**

- ☐ Personal Injury Action
- ☐ Breach of Contract Action
- ☐ Trusts & Estates Matter
- ☐ Real Estate Transaction
- ☐ Mergers & Acquisition Transaction
- ☐ Retainer for Unearned Legal Services
- ☐ Other, please specify: \_\_\_\_\_

- 2) Detail the initial payment/award made by/to you and/or received by you or on your behalf by Scott Rothstein and/or RRA and all subsequent payments/awards and/or disbursements made by/to you or on your behalf by Scott Rothstein and/or RRA in the below chart. Please provide supporting documentation.

#### Money Deposited

Date	Check # or Wire Transmittal #	Paid To (Entity & Bank Acct#)	Amount	Type of Transaction	Supporting Documentation
Total Money Invested			\$ -		

#### Money Received Back

Date	Check # or Wire Transmittal #	Paid To (Entity & Bank Acct#)	Amount	Type of Transaction	Supporting Documentation
Total Money Received			\$ -		

Net

\$  
-  
\_\_\_\_\_

- 2) Who introduced you to Scott Rothstein and/or RRA and what representations were made? What were your expectations?

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**3) Indicate the name of the individuals and/or entities with whom you had contact regarding your relationship with RRA:**

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**4) Materials provided to you:** (Place a check next to the materials in your possession and provide a copy to the FBI)

- ☐ Retainer Agreements
- ☐ Legal Pleadings (Complaints, etc.)
- ☐ Offering materials
- ☐ Private Placement Memorandums
- ☐ Settlement Agreements, Transfer Agreements, etc.
- ☐ Investment agreements
- ☐ Verification reports
- ☐ Audit reports
- ☐ Legal opinion letters
- ☐ Bank account Lock letters
- ☐ Bank account balance letters
- ☐ Monthly account statements
- ☐ Correspondence
- ☐ E-mail transmissions
- ☐ Facsimile transmissions
- ☐ Notes
- ☐ Cancelled checks
- ☐ Wire confirmations
- ☐ Bank statements
- ☐ Other \_\_\_\_\_

- 5) Please detail any pending claims/suits through which you are attempting to obtain compensation for your loss. If the claim/suit has been filed, please provide case number, jurisdiction and contact information for your legal counsel (if any).**

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- 6) Provide any other information you believe the United States Probation Office, the Federal District Court, United States Attorney's Office, Federal Bureau of Investigation, or the Internal Revenue Service should know related to your relationship with Scott W. Rothstein and/or RRA.**

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## VERIFICATION

Pursuant to Title 28, United States Code, Section 1746, I, \_\_\_\_\_, declare under penalty of perjury that I have read the foregoing questionnaire and the facts stated herein are true and correct.

Executed: \_\_\_\_\_  
Date Name

Driver's License #: \_\_\_\_\_