

Lynn A. Smith
2 Rolling Brook Dr.
Saratoga Springs, NY 12866

February 3, 2020

Hon. Gary L. Sharpe, Senior U.S. District Judge
James T. Foley U.S. Courthouse
Attn: John Law
445 Broadway, Room 112
Albany, NY 12207

Dear Judge Sharpe,

I thank you for your decision of October 29th, 2019 which released my retirement account from the asset freeze. Recently I have attempted to make my required minimum distributions from the account, as mandated by the IRS, and have discovered that the account custodian, National Financial Services, LLC, still considers the account subject to the asset freeze. I have been instructed by the custodian that in order to remove the freeze on the account, I must obtain a certified copy of the order, and that the certification must be within 60 days of the date of the order. Since it is now February 3rd, that 60 days have expired.

I am kindly requesting that you may sign a new order and mail me a certified copy of it so that I may access the account. I have enclosed a check to cover the \$11.00 fee for obtaining a certified document, along with a copy of the original order.

Finally, I have just recently moved to Colorado. If you would, please mail the copy to my new address at:

Lynn A. Smith
24 Pine Ridge Rd.
Basalt, CO 81621

Should this letter be posted to the Receiver's website, please redact my address so that it is not visible.

Sincerely,



Lynn A. Smith

WHEREAS, on September 30, 2019, L. Smith filed a motion to release the L. Smith IRA Account from the asset freeze, arguing that her IRA account is exempt from execution under New York State law, specifically N.Y. Civ. Prac. Law and Rules § 5205, and that this exemption cannot be disregarded because: (a) the Final Judgment is not a disgorgement order; and (b) L. Smith was not found to have violated the federal securities laws (Dkt. 1073),

NOW, THEREFORE,

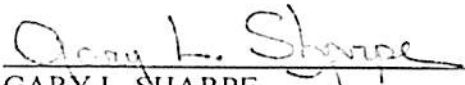
I.

IT IS ORDERED that, on consent of the SEC and L. Smith, the Preliminary Injunction Order is modified such that the L. Smith IRA Account is released from the asset freeze.

II.

IT IS FURTHER ORDERED that with the exception of the modification set forth herein and in certain prior Court orders, the asset freeze as set forth in the Preliminary Injunction Order remains in full effect.

SO ORDERED


GARY L. SHARPE
United States District Judge

Dated: Albany, New York
October 29, 2019



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October 14, 2019

cc: Geoffrey Smith
Lynn Smith
Lauren Smith
David Stoelting, Esq.
Kevin McGrath, Esq.