

# CA111517 - Transaction Summary

## Date Range of Reviewed Transactions:

- Date range of transactions is less than the standard 12 month review as accounts were recently established.
- Date range of transactions reviews will capture from account inception until 07/08/2019 as follows:
  - Account 11481413 - Opened on 04/19/2019 to 07/10/2019
  - Account 14332170 - Opened on 05/13/2019 to 07/10/2019
  - Account 41224708 - Opened on 04/11/2019 to 07/10/2019

## Scope of Accounts Reviewed:

- **All Accounts Reviewed**
  - Accounts identified under the clients included within the *Client Profile* subpages.

**[See Subpages for Account Details]**

**CONFIDENTIAL**  
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SDNY\_GM\_00006045

EFTA\_00120104

EFTA01265978

# ACCT: 11481413 - [SOUTHERN FINANCIAL LLC]

Account Type/Registration/Roles: Account Opened on 04/19/2019

**Account Details** Account 1148-1413

**Account Type** [Cancel](#) [Edit](#) **Registration/Holding Label** [Edit](#)

**Initial Contact Method**  
Mail  
Type  
Schwab One  
Registration  
Unit Liability Company

**Registration/Holding Label**  
SOUTHERN FINANCIAL LLC  
5 LEDINGTON AVE 4FL  
NEW YORK NY 10022

**Account Holders (4)** [Add](#)

Auth	Role	Name	Tax ID	Cont ID
	Lic	SOUTHERN FINANCIAL LLC	86-0799282	130692431
Y	Auth Agent	RICHARD KAHN	[REDACTED]	
	Int Cnt Person	SOUTHERN TRUST CORP...	66-0779861	131441295
	Int Cnt Person	RICHARD KAHN	[REDACTED]	

**POAs and Other Roles (0)** [Add](#)

Role	Name	Tax ID	Compensated IA	Emp/Reg IA
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**Beneficial Owners (1)** [Add](#)

Name	Tax ID	% Ownership
JEFFREY EPSTEIN	[REDACTED]	

**Beneficiaries** [Add](#)

3:07:52 PM 7/8/2019

## Transaction Details:

Credits:				Debits:			
Transaction Type	# Trans	Amount		Transaction Type	# Trans	Amount	
<b>IN-STATE CHECK DEPOSITS FROM:</b>	5	332,500.00		<b>JOURNALED SHARES &amp; FUNDS TO:</b>	2	-541,543.36	
06/17/19 DARREN K INDYKE & MICHELLE F SAIPHER		42,700.00		41224708 [SOUTHERN FINANCIAL]			
06/10/19 COATUE ENTERPRISES LLC		14,300.00		<b>DATE</b> <b>AMT</b>			
05/09/19 COATUE ENTERPRISES LLC		10,200.00		06/24/19 \$540,589.91			
05/09/19 COATUE ENTERPRISES LLC		15,300.00		07/02/19 \$953.45			
04/22/19 SOUTHERN FINANCIAL LLC		250,000.00		14332170 [SOUTHERN COUNTRY INTL.]			
<b>WIRED FUNDS RECEIVED FROM:</b>	3	285,278.60		<b>DATE</b> <b>SHARES</b> <b>SYM</b>			
[SOUTHERN FINANCIAL LLC]				06/27/19 3,000 GOOG			
<b>ADJUSTING ENTRY (1,000 shares GS - canceled)</b>	1	198,384.95		06/27/19 263,157 APO			
CASH DIVIDEND	1	121,052.22		06/27/19 1,000 GS			
QUALIFIED DIVIDEND	1	850.00		06/27/19 25,000 CVNA			
SCHWAB 1 INTEREST	3	242.54		06/27/19 1,000 AMZN			
<b>Incoming TOA from TD AMERITRADE # [REDACTED]</b>				06/27/19 25,000 KPTI			
<b>DATE</b> <b>SHARES</b> <b>SYM</b> <b>DESCRIPTION</b> <b>STATUS</b>				<b>BUY OF INVESTMENTS:</b>	2	-396,764.95	
04/25/19 3,000 GOOG ALPHABET INC. SOLD				2,000 shares of GS			
04/25/19 263,157 APO APOLLO GLOBAL MGMT LP SOLD				1,000 adjusted (-\$198,384.95)			
04/25/19 25,000 CVNA CARVANA CO SOLD				<b>1,000 shares of GS purchased</b>			
04/25/19 1,000 AMZN AMAZON.COM INC SOLD							
04/25/19 25,000 KPTI KARYOPHARM THERAPTIC SOLD							

Transaction Spreadsheet Attached / Screenshot (Limited or No Transactions):

04/19/19 - 07/10/19

CA111517 -

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**CONFIDENTIAL**

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EFTA\_00120105

EFTA01265979



CA111517 -  
Transacti...

**Investments:**

No investments as of 07/10/2019

Positions							Account 1148-1413
Positions	Display by	Symbol	Order Status	Order Entry	Positions Strategies	Date	
Type	Quantity	Symbol	Name	Quote	Market Value	Date	
7:08:08 AM 7/11/2019							

See the following wire(s) and/or check image(s) subpage(s) if applicable to account transactions as noted above.

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SDNY\_GM\_00006047

EFTA\_00120106

EFTA01265980

# Incoming Wires

## Incoming Wires:

ACCOUNT ID	ACTIVITY DT	TRAN AM	WIRE TAG CD	WIRE TX
11481413	05/01/2019	156,947.36	:20:	F0191210646701
11481413	05/01/2019	156,947.36	:32A:	190501USD156947,36
11481413	05/01/2019	156,947.36	:50K:	/0042952771 42952771 - SOUTHERN FINANCIAL LLC C/O HBRK ASSOCIATES, INC 575 LEXINGTON AVENUE,4TH FLOOR NEW YORK, NY 10022
11481413	05/01/2019	156,947.36	:52A:	BKTRUS33PWM
11481413	05/01/2019	156,947.36	:53D:	/C/40553953 CHARLES SCHWAB + CO INC ATT CASH ACCOUNTNG 120 8 101 MONTGOMERY ST SAN FRANCISCO CA 94104
11481413	05/01/2019	156,947.36	:59:	/40553953 CHARLES SCHWAB AND CO INC . .
11481413	05/01/2019	156,947.36	:70:	FOR FURTHER CREDIT TO ACCOUNT NAMES OUTHERN FINANCIAL LLC ACCOUNT NO 114 8 1413 IMAD 20190501B1Q8383C012734
11481413	05/01/2019	156,947.36	:72:	/INS/BKTRUS33XXX
11481413	05/03/2019	51,000.00	:20:	F0191230791701
11481413	05/03/2019	51,000.00	:32A:	190503USD51000,
11481413	05/03/2019	51,000.00	:50K:	/0042952771 42952771 - SOUTHERN FINANCIAL LLC C/O HBRK ASSOCIATES, INC 575 LEXINGTON AVENUE,4TH FLOOR NEW YORK, NY 10022
11481413	05/03/2019	51,000.00	:52A:	BKTRUS33PWM
11481413	05/03/2019	51,000.00	:53D:	/C/40553953 CHARLES SCHWAB + CO INC ATT CASH ACCOUNTNG 120 8 101 MONTGOMERY ST SAN FRANCISCO CA 94104
11481413	05/03/2019	51,000.00	:59:	/40553953 CHARLES SCHWAB AND CO INC . .
11481413	05/03/2019	51,000.00	:70:	FOR FURTHER CREDIT TO ACCOUNT NAMES OUTHERN FINANCIAL LLC ACCOUNT NO 114 8 1413 IMAD 20190503B1Q8383C009035
11481413	05/03/2019	51,000.00	:72:	/INS/BKTRUS33XXX
11481413	05/16/2019	77,331.24	:20:	F0191360294B01
11481413	05/16/2019	77,331.24	:32A:	190516USD77331,24
11481413	05/16/2019	77,331.24	:50K:	/867730320 SOUTHERN FINANCIAL LLC ATTN: JEFFRE 6100 RED HOOK QTRS STE B-3 ST THOMAS VI 008021348
11481413	05/16/2019	77,331.24	:52D:	/000004123214579 TD AMERITRADE CLEARING INC OUTGOING WIRE ACCOUNT 200 S. 108TH AVE., 11TH FLOOR OMAHA NE US 68154
11481413	05/16/2019	77,331.24	:53D:	/C/40553953 CHARLES SCHWAB + CO INC ATT CASH ACCOUNTNG 120 8 101 MONTGOMERY ST SAN FRANCISCO CA 94104
11481413	05/16/2019	77,331.24	:59:	/40553953 CHARLES SCHWAB CO., INC.
11481413	05/16/2019	77,331.24	:70:	FFC SOUTHERN FINANCIAL LLC 1148-141 3 IMAD 20190516I1B7031R007209 /RFB/18598437
11481413	05/16/2019	77,331.24	:72:	/INS/WFBIUS6SXXX

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SDNY\_GM\_00006048

EFTA\_00120107

EFTA01265981

# Incoming Check Deposits

Incoming Check Deposits:



Incoming  
Check Ima...

Date	Remitter	Remitter:	Drawee Bank	Check Number & Memo:	Deposit Amt
06/17/19	CHECK DEPOSIT	DARREN K INDYKE & MICHELLE F SAIPHER	TD Bank Account # [REDACTED]	#427 <b>Memo:</b> Promissory Note Dated 6-13-18 and 6-17-16 - Interest Pmts	42,700.00
06/10/19	CHECK DEPOSIT	COATUE ENTERPRISES LLC	JPMorgan Chase Bank Account # [REDACTED]	#109	14,300.00
05/09/19	CHECK DEPOSIT	COATUE ENTERPRISES LLC	JPMorgan Chase Bank Account # [REDACTED]	#108	10,200.00
05/09/19	CHECK DEPOSIT	COATUE ENTERPRISES LLC	JPMorgan Chase Bank Account # [REDACTED]	#107	15,300.00
04/22/19	CHECK DEPOSIT	SOUTHERN FINANCIAL LLC	Deutsche Bank Trust Account #42952771	#300	250,000.00

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SDNY\_GM\_00006049

EFTA\_00120108

EFTA01265982

# Incoming Transfer of Account (TOA)

## Incoming Account Transfer:

Incoming TOA from TD AMERITRADE # [REDACTED]

Date	Quantity	Symbol	Description
04/25/19	3,000	GOOG	ALPHABET INC.
04/25/19	263,157	APO	APOLLO GLOBAL MGMT LP
04/25/19	25,000	CVNA	CARVANA CO
04/25/19	1,000	AMZN	AMAZON.COM INC
04/25/19	25,000	KPTI	KARYOPHARM THERAPTIC

```

TORG NO MORE NOTES EXIST FOR THIS ACCOUNT 11:11
TEXT - KEY
>> ING << 07/09/19 TRANSFER OF ACCOUNTS - INCOMING ACCOUNT DETAIL
RSP: KTOA DEPT: TOA TRF: PTR ACAT CTL #:
ACCT NBR: 11401413 SR: UE TYPE: SICA PROJID VALID:
NAME: SOUTHERN FINANCIAL LLC LLC SGMT: SIG3 PROJID COMP.:
ORIG ACAT SETL:
TAKID1...: 660-79-9192 TAKID2: ORIG ACAT CTL#: 20191130004161
PRD: 01 REG: LLC CNTRBCD: SUBCD:
ACAT ACCT TYPE: CO TOTAL VALUES: 0.00
SWISS JOB: SWB CTL ID: 414363287 CXTCD CONTRA:
***** CONTRA DATA FOLLOWS *****
DTCF: 0180 SYMBOL: BR08 CTNA NAME: TD AMERITRADE CLEARING, INC.
OCDF: CORRES: CONTACT: TAX ID1:
ACCT#: CTNA ACCT TYPE: CO TAX ID2:
NAME:
STATUS: CLOS OPEN: 04/22/19 ORIG: OTOA DELV: 04/22/19 ACCEL:
DATE: 52 ACAT: 04/23/19 07:10 REJ RSN: PCRA APPL: XMT: 0
04/24/19 SYS ADDIT TOAR ONLY - SEE OTHER PTR TOAR FOR STATUS
04/22/19 OTOA TIF TRANSMITTED TO NSCC
04/22/19 OTOA TRANSFER INITIATED THROUGH OTOA_CONFIRMATION TAG0500790
F2-TOER F3-MOD F5-INSR | ADD NON-ACAT: F13-PUL F14-PTR
F6-TOMD F9-TOIS F11-TOIL | ACAT: F19-PTR F24-PUL
9:11:39 AM 7/9/2019
    
```

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TORG NO MORE NOTES EXIST FOR THIS ACCOUNT 11:12
TEXT - KEY
>> ING << 07/09/19 TRANSFER OF ACCOUNTS - INCOMING ACCOUNT DETAIL
RSP: KTOA DEPT: TOA TRF: PTR ACAT CTL #: 20191130004161
ACCT NBR: 11401413 SR: UE TYPE: SICA PROJID VALID:
NAME: SOUTHERN FINANCIAL LLC LLC SGMT: SIG3 PROJID COMP.: 04/25/19
ORIG ACAT SETL:
TAKID1...: 660-79-9192 TAKID2: ORIG ACAT CTL#:
PRD: 01 REG: LLC CNTRBCD: SUBCD:
ACAT ACCT TYPE: CO TOTAL VALUES: 14,014,535.81
SWISS JOB: SWB CTL ID: 243542044 CXTCD CONTRA:
***** CONTRA DATA FOLLOWS *****
DTCF: 0180 SYMBOL: BR08 CTNA NAME: TD AMERITRADE CLEARING, INC.
OCDF: CORRES: CONTACT: TAX ID1:
ACCT#: CTNA ACCT TYPE: CO TAX ID2:
NAME:
STATUS: COMP OPEN: 04/22/19 ORIG: OTOA DELV: 04/22/19 ACCEL:
DATE: 51 ACAT: 04/23/19 07:10 REJ RSN: PCRA APPL: XMT:
04/25/19 SYS TRANSFER COMPLETE - ACCT # 11401413
04/24/19 OTOA TIF TRANSMITTED TO NSCC
04/24/19 OTOA TRANSFER INITIATED THROUGH OTOA_CONFIRMATION TAG0500790
F2-TOER F3-MOD F5-INSR | ADD NON-ACAT: F13-PUL F14-PTR
F6-TOMD F9-TOIS F11-TOIL | ACAT: F19-PTR F24-PUL
9:12:37 AM 7/9/2019
    
```

# ACCT: 14332170 - [SOUTHERN COUNTRY INTERNATIONAL]

Account Type/Registration/Roles:

Account Opened on 05/13/2019

**Account Details** Account 1433-2170

**Account Type** [Convert](#) [Edit](#) **Registration/Trading Label** [Edit](#)

**Initial Contact Method**  
Mail

**Type**  
Schwab One

**Registration**  
Corporate

**Registration/Trading Label**  
SOUTHERN COUNTRY INTERNATIONAL  
6100 RED HOOK QTRIS STE 8-3  
ST THOMAS VI 00802

**Account Holders (3)** [Add](#)

Auth	Role	Name	Tax ID	Cust ID
	Corp	SOUTHERN COUNTRY INT...	46-0821138	80456783
T	Auth Agent	RICHARD KAHN	[REDACTED]	
	Int Crd Person	JEFFREY EPSTEIN	[REDACTED]	36.2086283 H

**POAs and Other Roles (0)** [Add](#)

Role	Name	Tax ID	Compensated IA	Empl/Reg IA
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**Beneficial Owners (1)** [Add](#)

Name	Tax ID	% Ownership
JEFFREY EPSTEIN	[REDACTED]	100 H

**Beneficiaries** [Add](#)

3:07:20 PM 7/8/2019

## Transaction Details:

Credits:				Debits:			
Transaction Type	# Trans	Amount		Transaction Type	# Trans	Amount	
<b>SELL OF INVESTMENTS:</b>	37	+23,731,527.61		<b>JOURNAL FUNDS TO:</b>	3	-17,505,911.64	
<b>Date</b> <b>Quantity</b> <b>Description</b>				<b>Date</b> <b>Amount</b>			
06/18/19 15,000 (UTX)				06/25/19 \$8,149,343.64			
06/18/19 3,000,000 "CITIGROUP INC. VAR 99 DUE 12/31/99"				06/25/19 \$2,000,000.00			
06/19/19 2,000,000 JBS INVESTMENTS 7.25% 24F DUE 04/03/24				06/24/19 \$7,356,568.00			
06/21/19 79,000 "CITIGROUP IN 6.875%							
06/21/19 2,000,000 "ASSURANT, INC. DUE 03/27/48"							
06/21/19 5,760,000 JPMORGAN CHASE & VAR							
07/10/19 25,000 CVNA							
07/10/19 3,000 GOOG							
07/10/19 2,000 GS							
07/10/19 25,000 KARYOPHARM THERAPTIC							
07/10/19 10,000 EXON MOBILE							
<b>CHECK DEPOSIT FROM:</b>	1	+250,000.00					
SOUTHERN COUNTRY INTERNATIONAL LTD							
<b>JOURNAL OF SHARES RECEIVED FROM:</b>	-	-					
41224708 [SOUTHERN TRUST COMPANY]							
<b>Date</b> <b>Quantity</b> <b>Symbol</b>							
06/27/19 10,000 XOM							
06/27/19 10,000 ILMN							
06/27/19 1,000 GS							
11487413 [SOUTHERN FINANCIAL LLC]							
<b>Date</b> <b>Quantity</b> <b>Symbol</b>							
06/27/19 3,000 GOOG							
06/27/19 263,157 APO							

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**CONFIDENTIAL**

06/27/19	1,000	GS		
06/27/19	25,000	CVNA		
06/27/19	1,000	AMZN		
06/27/19	25,000	KPTI		
<b>CD INTEREST PAYMENT</b>			1	+35,681.25
<b>INTEREST PAYMENTS</b>			2	+620.39

**Incoming TOA:**

DATE	#shares	Description	Status
05/20/19	79,000	CITIGROUP IN 6.875% PFD (C+K)	SOLD
05/20/19	1,903,000	LLOYDS BANKING G 7.5%99F DUE 12/31/99	HELD IN ACCT
05/20/19	2,000,000	JBS INVESTMENTS 7.25%24F DUE 04/03/24	SOLD
05/20/19	3,000,000	CITIGROUP INC. VAR 99 DUE 12/31/99	SOLD
05/20/19	2,000,000	ASSURANT, INC. VAR 48 DUE 03/27/48	SOLD
05/20/19	5,760,000	JPMORGAN CHASE & VAR	SOLD
05/20/19	15,000	UNITED TECHNOLOGIES (UTX)	SOLD
05/20/19	80,000	GMAC CAPITAL T 8.125%PPFD DUE 02/15/40 SUBJ TO XTRO REDEMPTION (ALLY+A)	HELD IN ACCT

Transaction Spreadsheet Attached /Screenshot (Limited or No Transactions):

05/13/19 - 07/10/19



CA111517 -  
Transacti...

**Investments:**

Positions						Account 1433-2170	
Positions	Displayby	Symbol	Order Status	Order Entry	Positions Strategy	D	D
Type	Quantity	Symbol	Name	Quote	Market Value		
1	0	GOOG	ALPHABET INC CLASS C	1,140.48	0		
1	1,000	AMZN	AMAZON.COM INC	2,017.41	2,017,410.00		
1	263,157	APO	APOLLO GLOBAL MGMT LP	35.86	9,436,810.02		
1	0	CVNA	CARVANA CO CLASS A	67.65	0		
1	0	XOM	EXXON MOBIL CORP	77.51	0		
1	80,000	ALLY/PRA	GMAC CAPITAL T 8.125%PPFD DUE 02/15/40 SUBJ TO XTRO REDEMPTION	26.27	2,101,600.00		
1	0	GS	GOLDMAN SACHS GROUP	205.97	0		
1	10,000	ILMN	ILLUMINA INC	372.70	3,727,000.00		
1	0	KPTI	KARYOPHARM THERAPTC	7.79	0		
1	1,903,000		LLOYDS BANKING G 7.5%99F DUE 12/31/99	105.75	2,012,422.50		

7:07:38 AM 7/11/2019

See the following wire(s) and/or check image(s) subpage(s) if applicable to account transactions as noted above.

**CONFIDENTIAL**  
CA111517 - Transaction Summary Page 8

SDNY\_GM\_00006052

EFTA\_00120111

EFTA01265985

# Incoming Transfer of Account (TOA)

## Incoming Account Transfer:

### Incoming TOA:

Date	Quantity	Description
05/20/19	79,000	CITIGROUP IN 6.875% PFD (C+K)
05/20/19	1,903,000	LLOYDS BANKING G 7.5%99F DUE 12/31/99
05/20/19	2,000,000	JBS INVESTMENTS 7.25%24F DUE 04/03/24
05/20/19	3,000,000	CITIGROUP INC. VAR 99 DUE 12/31/99
05/20/19	2,000,000	ASSURANT, INC. VAR 48 DUE 03/27/48
05/20/19	5,760,000	JPMORGAN CHASE & VAR
05/20/19	15,000	UNITED TECHNOLOGIES (UTX)
05/20/19	80,000	GMAC CAPITAL T 8.125%PFD DUE 02/15/40 SUBJ TO XTRO REDEMPTION (ALLY+A)

- Appears the incoming TOA was from TD Ameritrade account, however, unable to locate documents.

**Client Overview** Cust ID [REDACTED] HH Benefits Bal \$0.00 Trades/yr 0 Refresh

**Identification Information** Edit

**Voice Authentication** Ineligible

**Name**  
RICHARD KAHN  
Do Not Call Status: Do Not Call  
Share with Affiliates: Not OK

**Date of Birth**  
12/06/1972 (46 years old)

**Mother's Maiden Name**

**Brokerage Accounts** Balance Add New No

**Notes** View

**Walk-In Meeting**  
Rich came in to open the new corporate account. Took the application in. As I understand, there is one equity and multiple bond positions. The \$ are coming from TD. He would also like to give authorization to Paul Barrett who is the trader and idea generator for Mr. Eppstein. He would like to get street smart edge software. Would like to get 5 years of free trades as well for this account.

**Recent Transactions** Other Schwab Account More Transaction

**Latest Sales** Rep ID

Activity Type

Outbound Call Completed 2019-05-08 2019-05-08 spoke with rnm; let rnm know I spoke with Paul yesterday about ... JZAI

Walk-In Meeting Completed 2019-05-10 2019-05-10 Rich came in to open the new corporate account. Took the appl... UEOG

9:51:30 AM 7/10/2019

**CONFIDENTIAL**

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SDNY\_GM\_00006053

EFTA\_00120112

EFTA01265986



# ACCT: 41224708 - [SOUTHERN TRUST COMPANY]

Account Type/Registration/Roles:

Account Opened on 04/11/2019

Account Details					Account
Account Type					4122-4708
Initial Contact Method			Registration/Trading Label		
Mail			SOUTHERN TRUST COMPANY INC		
Type			6100 RED HOOK QUARTER B3		
Schwab One			ST THOMAS VI 00802		
Registration					
Corporate					
Account Holders (4)					
Auth	Role	Name	Tax ID	Cust ID	
	Corp	SOUTHERN TRUST COMPA...	86-0779861	86-0131751	
T	Auth Agent	RICHARD KAHN			
	Ind Cntl Person	RICHARD KAHN			
	Ind Cntl Person	JEFFREY EPSTEIN		561086163	
POAs and Other Roles (0)					
Role	Name	Tax ID	Compensated IA	Empl/Reg IA	
Beneficial Owners (2)					
Name	Tax ID	% Ownership			
RICHARD KAHN		0			
JEFFREY EPSTEIN		100			

8:25:34 AM 7/11/2019

## Transaction Details:

Credits:			Debits:		
Transaction Type	# Trans	Amount	Transaction Type	# Trans	Amount
<b>JOURNALED FUNDS/SHARES FROM:</b> #11481413 [SOUTHERN FINANCIAL LLC]	5	18,047,455.00	<b>FX WIRED FUNDS DISBURSED TO:</b> MARC LEON in MOROCCO (returned) MARC LEON (2nd attempted )	1	-12,708,324.00
Date    Amount			<b>JOURNAL OF SHARES TO:</b> 14332170 [SOUTHERN COUNTRY INT]		
06/24/19    \$540,589.91			Date    Quantity    Symbol		
07/02/19    \$953.45			06/27/19    10,000    XOM		
#14332170 [SOUTHERN COUNTRY INT.]			06/27/19    10,000    ILMN		
Date    Amount			06/27/19    1,000    GS		
06/25/19    \$8,149,343.64			<b>BUY</b>	1	-198,460.00
06/25/19    \$2,000,000.00			05/21/19 (1,000 shares of GS)		
06/24/19    \$7,356,568.00			<b>REINVEST DIVIDENDS</b>	3	-4,841.18
<b>FX RETURNED WIRE - MARC LEON</b>	2	12,070,506.60	<b>WIRE FEE</b>	1	-25.00
<b>WIRED FUNDS RECEIVED FROM:</b> SOUTHERN TRUST COMPANY INC	1	2,000,000.00			
<b>SELL</b>	1	1,059,144.44			
06/21/19    1,000,000    BANK OF AMERICA					
<b>FUNDS RECEIVED FROM:</b> SOUTHERN TRUST COMPANY INC	1	250,000.00			
<b>QUALIFIED DIVIDEND</b>	2	9,550.00			
<b>CASH DIVIDEND</b>	3	4,841.18			
<b>SCHWAB INTEREST PAYMENT</b>	3	1,792.30			

## Incoming TOA:

Date	Quantity	Symbol	Description	STATUS
04/30/19	10,000	XOM	EXXON MOBIL CORP	SOLD
04/30/19	10,000	ILMN	ILLUMINA INC	ACCT-2170
04/30/19	1,000,000	-	BANK OF AMERICA C VAR	SOLD

SDNY\_GM\_00006055

**CONFIDENTIAL**

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EFTA\_00120114

EFTA01265988

**Transaction Spreadsheet Attached /Screenshot (Limited or No Transactions):**

04/11/19 - 07/10/19



CA111517 -  
Transactio...

**Investments:**

No investments as of 07/10/2019

Positions						Account 4122-4708
Positions	Displayby	Symbol	Order Status	Order Entry	Positions Strategies	
Type	Quantity	Symbol	Name	Quote	Market Value	
7:08:39 AM 7/11/2019						

See the following wire(s) and/or check image(s) subpage(s) if applicable to account transactions as noted above.

# Incoming Wires

## Incoming Wires:

ACCOUNT ID	ACTIVITY DT	TRAN AM	WIRE TAG CD	WIRE TX
41224708	04/17/2019	2,000,000.00	:20:	F01910707AB501
41224708	04/17/2019	2,000,000.00	:32A:	190417USD2000000,
41224708	04/17/2019	2,000,000.00	:50K:	/0044129244 44129244 - SOUTHERN TRUST COMPANY, C/O HBRK ASSOCIATES, INC 575 LEXINGTON AVENUE,4TH FLOOR NEW YORK, NY 10022
41224708	04/17/2019	2,000,000.00	:52A:	BKTRUS33PWM
41224708	04/17/2019	2,000,000.00	:53D:	/C/40553953 CHARLES SCHWAB + CO INC ATT CASH ACCOUNTING 120 8 101 MONTGOMERY ST SAN FRANCISCO CA 94104
41224708	04/17/2019	2,000,000.00	:59:	/40553953 CHARLES SCHWAB AND CO INC 399 PARK AVE NEW YORK NY 10022
41224708	04/17/2019	2,000,000.00	:70:	FOR FURTHER CREDIT TO ACCOUNT NAMES SOUTHERN TRUST COMPANY INC ACCOUNTNUMBER 41224708 IMAD 20190417B1Q8383C 015657
41224708	04/17/2019	2,000,000.00	:72:	/INS/BKTRUS33XXX

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SDNY\_GM\_00006057

EFTA\_00120116

EFTA01265990

# Outgoing Wires

## Outgoing Wires:

### Wire requested to be returned:

Wire Request - One-Time (Posted)			Wire Details <a href="#">Copy all details</a>			Bene Tag 59		
<b>Case Details</b>			<b>Fed Ref</b> No			<b>Third Party</b> Yes		
Case ID	WI-3763755		<b>Bank Ref</b> ICS0000823239634			<b>Bene Acct</b> [REDACTED]		
Case Status	Resolved-Completed		Wire Type Non-ABA			Name MARC LEON		
<b>Transfer Details</b>			Institutions 1			Address JMM EL PACHA 1ST FLOOR 67 RUE IBN KHALDOUN MARAKECH 4000		
Process Date	06/26/2019		<b>Bene Bank Tag 57</b>			Country MOROCCO		
Value Date	06/28/2019		ID Type SWIFT BIC			<div style="border: 1px solid black; padding: 5px;"> <b>Uncleared Reasons</b>                      POST Awaiting Bank Confirmed Ref                      POST Awaiting Confirm Letter To Cust                 </div>		
Foreign Currency	Euro (EUR)		ID BAER022					
Client Rate	1.13976		2nd ID No					
Fixed Amount	FX		Phone No					
Foreign Curr Amt	11,150,000.00		Name BANK JULIUS BAER AND CO.LTD., ZURIC					
USD Amount	\$12,708,324.00		Address BAHNHOFSTRASSE 36 P.O. BOX 8010 ZUR					
Fee	\$25		ZURICH					
Net Fee	\$25		Country SWITZERLAND					
Reg E. Foreign Wire	No							
LOA Verification	Yes - Verified by (UFMB)							
Created On	06/26/2019							
Created In	MY							
Created By	UFMB							
Submit Master	0							
<b>Notes</b>								
Date & Time (ET)	User ID	Notes						
07/01/2019 09:58:52	UFMB	CANCELLED- NULL AND VOID.						
06/26/2019 17:09:53	CFW5001	POST REASON AUTHORIZED: AACK - AWAIT BANK ACK						
06/26/2019 17:09:19	MYQ	PEND REASON AUTHORIZED: SLMT - OVER \$ LIMIT						
06/26/2019 17:09:19	MYQ	PEND REASON AUTHORIZED: DSTP - DELAY WIRE RLSE						
06/26/2019 17:09:19	MYQ	VRFY REASON AUTHORIZED: ESTP - EXECUTE STP						
<b>Additional Notes</b>								
7:21:53 AM 7/11/2019								

### Secondary wire request, but was requested to be canceled.

Wire Request - One-Time (Cancelled)			Wire Details <a href="#">Copy all details</a>			Bene		
<b>Case Details</b>			<b>Fed Ref</b> No			<b>Third Party</b> Yes		
Case ID	WI-3851743		<b>Bank Ref</b> No			<b>Bene Acct</b> [REDACTED]		
Case Status	Resolved-Cancelled		Wire Type Non-ABA			Name MARC LEON		
<b>Transfer Details</b>			Institutions 1			Address JMM EL DACHA 1ST FLOOR 67 RUE IBN KHALD		
Process Date	07/10/2019		<b>Bene Bank</b>			Country MOROCCO		
Amount	\$14,950,000.00		ID Type SWIFT BIC			<div style="border: 1px solid black; padding: 5px;"> <b>Uncleared Reasons</b>                      POST Awaiting Bank Confirmed Ref                      POST Awaiting Confirm Letter To Cust                 </div>		
Fee	\$25		ID BAER022					
Net Fee	\$25		2nd ID No					
Reg E. Foreign Wire	No		Phone No					
LOA Verification	Yes - Verified by (LPG4)		Name BANK JULIUS BAER AND CO.LTD., ZURIC					
Created On	07/05/2019		Address BAHNHOFSTRASSE 36 P.O. BOX 8010 ZUR					
Created In	MY		ZURICH					
Created By	LPG4		Country SWITZERLAND					
Submit Master	0							
LOA Verification	Yes - Verified by (LPG4)							
Created On	07/05/2019							
Created In	MY							
Created By	LPG4							
Submit Master	0							
<b>Notes</b>								
Date & Time (ET)	User ID	Notes						
07/10/2019 14:26:44	MYQ	Request cancelled - see MyQ Case ID WI-3801743						
07/10/2019 14:26:44	MYQ	INSTRUCTION CANCELLED						
07/05/2019 11:36:47	LPG4	VRFY REASON CREATED : NACT - NEW ACCT <90 DAY						
07/05/2019 11:36:47	LPG4	VRFY REASON CREATED : LOAR - WIRE LOA REVIEW						
07/05/2019 11:36:47	LPG4	VRFY REASON AUTHORIZED: VCST - CUST VERIFY REQ						
<b>Additional Notes</b>								
7:10:19 AM 7/11/2019								

# Incoming Transfer of Account (TOA)

## Incoming Account Transfer:

Incoming TOA from MERRYL LYNCH Account #603118

Date	Quantity	Symbol	Description
04/30/19	10,000	XOM	EXXON MOBIL CORP
04/30/19	10,000	ILMN	ILLUMINA INC
04/30/19	1,000,000	-	BANK OF AMERICA C VAR 99 DUE 12/31/99

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TOAR MORE NOTES ARE AVAILABLE FOR DISPLAY 11:30
NEXT _ KEY
>> INQ << 07/09/19 TRANSFER OF ACCOUNTS - INCOMING ACCOUNT DETAIL
RSP: ETOA DEPT: TOA TRF: PTR ACAT CTL #: PENDING
ACCT NBR: 41224708 BR: UK TYPE: SICA PROJID VALID:
NAME: SOUTHERN TRUST COMPANY INC BUNT: S104 PROJID COMP.:
TAXID1...: 660-77-9861 TAXID2: ORIG ACAT SETL:
PROJ: S1 REG: CORP CONTRBCD: SUBCD: ORIG ACAT CTL#:
ACAT ACCT TYPE: CO TOTAL VALUES: 0.00
SWISS JOB: NA SWB CTL ID: 126934294 CTRCD CONTRA:
***** CONTRA DATA FOLLOWS *****
DTC#: 0671 SYMBOL: CTRA NAME: MERRILL LYNCH TAX ID1:
OCCT#: CORRES: CONTACT: TAX ID2:
ACCT#: CTRA ACCT TYPE: CO TAX ID2:
NAME:
STATUS: CLOS OPEN: 04/22/19 ORIG: OTOA DELV: ACCEL:
DAYS: 51 ACAT: REJ RSN: PCRA APPRL: XMIT:

04/25/19 TOF9 SEE CASE TA-1335143 FOR PROCESSING
04/25/19 TOF9 STATUS CHANGED FROM: HOLD TO: CLOS
04/22/19 OTOA CLIENT SUBMITTED TOA VIA SCHWAB.COM. CLIENT WAS INSTRUCTED
F2-TOER F3-MOD F5-INSR : ADD NON-ACAT: F13-FUL F14-PTR
F6-TOMO F9-TOIS F11-TOIL : ACAT: F18-PTR F24-FUL
9:30:49 AM 7/9/2019
    
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TOAR MORE NOTES ARE AVAILABLE FOR DISPLAY 11:30
NEXT _ KEY
>> INQ << 07/09/19 TRANSFER OF ACCOUNTS - INCOMING ACCOUNT DETAIL
RSP: NIQT DEPT: TOA TRF: PTR ACAT CTL #: NON-ACAT
ACCT NBR: 41224708 BR: UK TYPE: SICA PROJID VALID:
NAME: SOUTHERN TRUST COMPANY INC BUNT: S104 PROJID COMP.: 05/02/19
TAXID1...: 660-77-9861 TAXID2: ORIG ACAT SETL:
PROJ: S1 REG: CORP CONTRBCD: SUBCD: ORIG ACAT CTL#:
ACAT ACCT TYPE: CO TOTAL VALUES: 0.00
SWISS JOB: TA-1335143 SWB CTL ID: 576307764 CTRCD CONTRA:
***** CONTRA DATA FOLLOWS *****
DTC#: SYMBOL: CTRA NAME: BANK OF AMERICA MERRILL LYNCH
OCCT#: CORRES: CONTACT: TAX ID1:
ACCT#: CTRA ACCT TYPE: CO TAX ID2:
NAME:
STATUS: COMP OPEN: 04/23/19 ORIG: TOJ2 DELV: ACCEL:
DAYS: 46 ACAT: REJ RSN: PCRA APPRL: XMIT:

05/02/19 GP4P FULFILLMENT TYPE = COPY
04/29/19 TOF1 FULFILLMENT TYPE = COPY
04/29/19 TOJ3 FULFILLMENT TYPE = COPY
F2-TOER F3-MOD F5-INSR : ADD NON-ACAT: F13-FUL F14-PTR
F6-TOMO F9-TOIS F11-TOIL : ACAT: F18-PTR F24-FUL
9:31:01 AM 7/9/2019
    
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SDNY\_GM\_00006059

EFTA\_00120118

EFTA01265992

# Incoming Check Deposits

## Incoming Check Deposits:



Date	Remitter	Remitter:	Drawee Bank	Check Number	Deposit Amt
04/12/19	CHECK DEPOSIT	SOUTHERN TRUST COMPANY INC	FirstBank Account # [REDACTED]	#1997	250,000.00

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SDNY\_GM\_00006060

EFTA\_00120119

EFTA01265993