

NAME SEARCHED : **Southern Financial LLC**

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below. Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	I. <a href="#">RDC Results</a>	No RDC alert (Please see attached)
FIRCOSOFT	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. <a href="#">FIRCOSOFT Results</a>	No FIRCOSOFT alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Not Required	III. <a href="#">Negative Media</a>	There was no information found
		IV. <a href="#">Non-Negative Media</a>	There was no information found
		V. <a href="#">Other Language Media</a>	There was no information found
D&B	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VI. <a href="#">D&amp;B</a>	Result found(Please see attached)
Smartlinx	Results? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	VII. <a href="#">Smartlinx</a>	There was no information found
Court Cases	<input type="checkbox"/> Review by Legal May be Required <input checked="" type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. <a href="#">Court Cases</a>	There was no information found

Prepared by: Reena Chandwani Date:07/24/2018  
Research Analyst

**Instructions:**

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbellhttp://www.martindale.com/xp/Martindale/home.xml](http://www.martindale.com/xp/Martindale/home.xml)
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

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SDNY\_GM\_00061266

## OFAC RESULTS

### RDC:

11636700	<u>Not Alerted</u>	KYC 01946825	 Southern Financial LLC	Country: UNITED STATES
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### FIRCOSOFT:

Request ID	Record ID	Type	Name	Details	Alert(s)			
					ADM	INT	PEP	SAE
21371624	WR_213716242182	Company	Southern Financial LLC		No Alert	No Alert	No Alert	No Alert

## BIS RESULTS

### Negative Media:

There was no information found

### Non-Negative Media:

There was no information found

### Other Language Media:

There was no information found

### Public Records:

There was no information found

### D&B:

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Worldbase

January 7, 2011

**SOUTHERN FINANCIAL LLC**

430 DOUGLAS AVE  
(registered address)  
ALTAMONTE SPRINGS, FL 327142506  
USA

**COUNTY:** SEMINOLE  
**REGION:** NORTH AMERICA

\*\*\*\*\* **COMMUNICATIONS** \*\*\*\*\*

**TELEPHONE:** [REDACTED]

**COUNTRY CODE:** 0001  
**CABLE TELEX:** NNYNNNP

\*\*\*\*\* **COMPANY IDENTIFIERS** \*\*\*\*\*

**DUNS:** 14-388-2210

\*\*\*\*\* **COMPANY INFORMATION** \*\*\*\*\*

**EMPLOYEES HERE:** 2 - Estimate  
**EMPLOYEES TOTAL:** 2 - Estimate

**COMPANY TYPE:** Private

\*\*\*\*\* **EXECUTIVES** \*\*\*\*\*

**CEO:**  
D HARRIS, PRINCIPAL

\*\*\*\*\* **DESCRIPTION** \*\*\*\*\*

**INVESTMENT ADVICE**

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**CONFIDENTIAL**

\*\*\*\*\* MARKET AND INDUSTRY \*\*\*\*\*

**SIC CODES:**

6282 - Investment advisory service

**LOAD-DATE:** June 22, 2018

**LEGAL RESULTS:**

**Court Cases:**

There was no information found

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DB-SDNY-0024094  
EFTA\_00171781

EFTA01297801