

NAME SEARCHED: Southern Trust Company, Inc.

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. RDC Results	No RDC alert (Please see attached)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. PCR Results	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Required	III. Negative Media	There was no information found
		IV. Non-Negative Media	Not Required
		V. Other Language Media	Not Required
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. D&B	Not Required
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. Smartlinx	Result found(Please see attached)
Court Cases	<input checked="" type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. Court Cases	Result found(Please see attached)

Prepared by: Deepak Khandelwal Date:05/30/2013
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-Hubbell <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.

OFAC RESULTS**RDC:**

11522897 Not Alerted 6229368 Southern Trust Company, Inc. Country:United States

PCR:C20130517424822 Southern Trust Company, Inc. 6229368 NCA customised Closed - No Hit
30/05/2013**BIS RESULTS****Negative Media:**

There was no information found

Non-Negative Media:

Not Required

Other Language Media:

Not Required

Public Records:**1 OF 1 RECORD(S)**FOR INFORMATIONAL PURPOSES ONLY
Copyright 2013 LexisNexis
a division of Reed Elsevier Inc. All Rights Reserved.**Subject Summary**

Name	Address	Phone	County/FIPS
SOUTHERN TRUST COMPANY, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781	None Listed	

Name Variations/DBAs

#	Name Variations
1.	SOUTHERN TRUST COMPANY, INC.

Addresses - 1 records found

#	Address	Dates	County	MSA
1.	739 KENDALL RD NEWBERRY, SC 29108	10/11/2006 -	NEWBERRY	-

ABR Research Profile

modified 6/18/2007

Last

For internal use only

SDNY_GM_00064619

CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027444

EFTA_00175122

EFTA01299073

#	Address	Dates	County	MSA
---	---------	-------	--------	-----

3/15/2013

Profile Information - 18 records found**1: SOUTHERN TRUST COMPANY, INC.**

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

2: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

3: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

4: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

5: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

6: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008

7: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

8: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
State Of Incorporation: SC
Charter Number: 356008

ABR Research Profile

modified 6/18/2007

Last

For internal use only

SDNY_GM_00064620

CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027445

EFTA_00175123

EFTA01299074

8: SOUTHERN TRUST COMPANY, INC.

Corporation Structure: BUSINESS PROFIT ENTITY

9: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

10: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

11: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

12: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008

13: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

14: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: MERGER
Corporation Structure: BUSINESS PROFIT ENTITY

15: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008

16: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
Date Of Incorporation: 3/29/1984
State Of Incorporation: SC
Charter Number: 356008
Status Of Incorporation: FOR PROFIT BUSINESS

17: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.

ABR Research Profile

modified 6/18/2007

Last

For internal use only

SDNY_GM_00064621

CONFIDENTIAL

17: SOUTHERN TRUST COMPANY, INC.

Date Of Incorporation: 3/29/1984
 State Of Incorporation: SC
 Charter Number: 356008
 Status Of Incorporation: MERGER

18: SOUTHERN TRUST COMPANY, INC.

Company Name: SOUTHERN TRUST COMPANY, INC.
 Date Of Incorporation: 3/29/1984
 State Of Incorporation: SC
 Charter Number: 356008
 Status Of Incorporation: MERGER

Registered Agents - 1 records found

#	Name	Address
1.	C OTIS TAYLOR JR	739 KENDALL RD NEWBERRY, SC 29108-1781

Company ID Numbers - 1 records found

Company ID Numbers
 Sec. of State Charter No(s): SC, 356008

Business Associates - 10 records found

#	Name	Address
1.	CANNON ASSOCIATES INC	739 KENDALL RD NEWBERRY, SC 29108-1781
2.	CANNON CONSTRUCTION COMPANY, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781
3.	KAR KLEEN OF SOUTH CAROLINA, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781
4.	MINI WAREHOUSES-TCA INC	739 KENDALL RD NEWBERRY, SC 29108-1781
5.	NEWBERRY PROPERTIES, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781
6.	PALMETTO PROPERTY MANAGEMENT, LLC	739 KENDALL RD NEWBERRY, SC 29108-1781
7.	SOUTHERN TRUST COMPANY, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781
8.	TAYLOR FOUNDATION OF NEWBERRY, INC.	739 KENDALL RD NEWBERRY, SC 29108-1781
9.	TCA FISH FARMS LLC	739 KENDALL RD NEWBERRY, SC 29108-1781
10.	TCA TIMBERLANDS INC	739 KENDALL RD NEWBERRY, SC 29108-1781

Sources - 3 records found

All Sources	3 Source Document(s)
Business Finder	2 Source Document(s)
Corporate Filings	1 Source Document(s)

Important: The Public Records and commercially available data sources used on reports have errors. Data is sometimes entered poorly, processed incorrectly and is generally not free from defect. This system should not be relied upon as definitively accurate. Before relying on any data this system supplies, it should be independently verified. For Secretary of State documents, the following data is for information purposes only and is not an official record. Certified copies may be obtained from that individual state's Department of State.

Your DPPA Permissible Use is: Debt Recovery/Fraud

Your GLBA Permissible Use is: Legal Compliance

Copyright© 2013 LexisNexis, a division of Reed Elsevier Inc. All rights reserved.

ABR Research Profile

modified 6/18/2007

Last

For internal use only

SDNY_GM_00064622

CONFIDENTIAL

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027447

EFTA_00175125

EFTA01299076

D&B:

Not Required

LEGAL RESULTS:

Court Cases:

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

1990 Fed. Res. Interp. Ltr. LEXIS 350

August 29, 1990

CORE TERMS: subsidiary, revisions, BHC Act, renumbered, sentence, banking, acquire, accurately, revised, deleted

REQUESTBY: Robert E. Mannion, Esq.
Arnold & Porter
1200 New Hampshire Avenue, N.W.
Washington, D.C. 20036

OPINIONBY: William W. Wiles, Secretary of the Board

Dear Mr. Mannion:

This is in reference to the Board's Order of July 24, 1990, approving the application of Avantor Financial Corporation, Norfolk, Virginia ("Applicant") to become a bank holding company by acquiring The Citizens and Southern Corporation, Atlanta, Georgia ("C&S"), and Sovran Financial Corporation, Norfolk, Virginia ("Sovran"), and the banking and nonbanking subsidiaries of C&S and Sovran ("Order").

In order to reflect more accurately the extent of the Board's approval of this transaction, and to take into account changes in the proposal made by Applicant following both filing of the applications and approval of the applications, the following revisions have been made to the Order. These revisions have been incorporated in the version of this Order that will be published in the Federal Reserve Bulletin, a copy of which is enclosed.

1. The new name of the Applicant, "C&S/Sovran Corporation," announced by the Applicant on July 24, 1990, has been placed at the heading to the Order.

2. To reflect the merger of various Sovran subsidiary banks and the acquisition of subsidiary banks by C&S subsequent to the filing of these applications, the following revisions have been made to Appendix A of the Order:

1) Item number 7 has been changed to "The Citizens and Southern Bank of Duval County, Neptune Beach, Florida."

2) Item number 8 has been changed to "The Citizens and Southern Bank of Monroe County, Marathon, Florida."

3) Items numbered 15, 16 and 18 have been deleted and items numbered 17 and 19 have been renumbered as 15 and 16 respectively. Accordingly, the first sentence of the third paragraph of the Order

ABR Research Profile
modified 6/18/2007

Last

For internal use only

SDNY_GM_00064623

CONFIDENTIAL

has been changed to indicate that Sovran has twelve banking subsidiaries, and the next sentence of this paragraph has been changed to indicate that C&S has five banking subsidiaries.

3. To reflect more accurately the legal names of certain C&S subsidiary banks, Items numbered 2 and 3 of Appendix A are revised to read as follows:

"2) The Citizens and Southern National Bank of Florida, Fort Lauderdale, Florida." and "3) The Citizens and Southern National Bank of S.C., Columbia, South Carolina."

4. Appendix B of the Order has been revised to include Sovran Credit Corporation, Sovran Equity Mortgage Corporation, Sovran Mortgage Corporation and C&S Family Credit, Inc., as items numbered 3, 4, 7 and 13 respectively. All of these companies conduct lending activities pursuant to section 225.25(b)(1) of Regulation Y (12 C.F.R. 225.25(b)(1)). The other companies listed in this Appendix have been renumbered accordingly. These companies were not originally included in this Appendix because they engage in insurance activities pursuant to section 225.25(b)(8) of Regulation Y (12 C.F.R. 225.25(b)(8)). To reflect the fact that the Board intended to consider all of the insurance activities of the subsidiaries to be acquired by Applicant at one time (in light of the allegations made by the Protestants about the scope and permissibility of various insurance activities conducted by these insurance subsidiaries), the following sentence has been added to the end of footnote 24 of the Order:

"In this regard, the insurance activities conducted by Sovran Credit Corporation, Sovran Equity Mortgage Corporation, Sovran Mortgage Corporation and C&S Family Credit, Inc. are not approved by this Order, but will be considered in conjunction with Avantor's applications to acquire the insurance subsidiaries of C&S and Sovran."

5. To reflect the fact that Sovran Trading Company/Central South was acquired pursuant to section 4(c)(14) of the Bank Holding Company Act (12 U.S.C. § 1843(c)(14)) ("BHC Act"), and not pursuant to section 4(c)(8) of the BHC Act (12 U.S.C. § 1843(c)(8)), the reference to this company in Appendix B as item number 6 has been deleted. All other companies listed in this Appendix have been renumbered accordingly. Additionally, the following clause has been added to the last sentence in the first paragraph and the first sentence of the second last paragraph of the Order:

"to acquire Sovran Trading Company/Central South pursuant to section 4(c)(14) of the BHC Act and . . ."

These technical revisions have no substantive effect on the Board's approval issued July 24, 1990, of this transaction. In addition, this is to confirm that the Order was intended to include the approval of Applicant to acquire the intermediate bank holding companies of C&S and Sovran, namely, Citizens and Southern Georgia Corporation, Citizens and Southern Florida Corporation, Citizens and Southern South Carolina Corporation, Citizens and Southern Trust Company, Inc. and Sovran Financial Corporation/Central South.

If you have any questions regarding this matter, please contact Thomas Corsi [REDACTED] or Terry Browne [REDACTED] of the Board's Legal Division.

Very truly yours,

William W. Wiles

Secretary of the Board

cc: Federal Reserve Bank of Atlanta

Legal Topics:

For related research and practice materials, see the following legal topics:
Banking LawBank ActivitiesSecuritiesNonbank BanksBanking LawFederal ActsBank Holding Company ActBanking LawNational BanksAffiliates & Subsidiaries

ABR Research Profile

modified 6/18/2007

Last

For internal use only

SDNY_GM_00064624

CONFIDENTIAL

CASE COMMENTS

[REDACTED] - 2013/05/28] : *Please rush. Need to open accounts asap*