

## Cynthia Rodriguez

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**From:** Kshitij Golani  
**Sent:** Monday, July 10, 2017 4:29 PM  
**To:** Cynthia Rodriguez  
**Cc:** PWMUS AMLKYC  
**Subject:** CLEARED: RDC Alert Southern Financial LLC [I]  
**Attachments:** RDC Alert\_Southern Financial LLC.PDF

Classification: **For internal use only**

Hello,

AML Compliance reviewed 4 RDC alerts generated for Southern Financial LLC. Southern Financial LLC has a banking and a brokerage relationship with DB. See KYC 1790655/GCIS 483882.

### Alert Details –

**Alert 1**, Southern Financial Group, which is based in South Carolina, was shut down by the Securities and Exchange Commission after being charged in 2002 with a \$25 million Ponzi scheme.

**Alert 2**, Southern Financial Group, which is based in North Carolina, was charged in 2008 with securities fraud in connection with a high-yield investment scheme involving the unregistered offer and sale of Securities.

**Alert 3**, Southern Financial Services, aka Southern Financial Services Inc., which is based in North Carolina, was charged in 2011 for fraudulently inducing clients to deposit monies and purported to provide asset management, IRA accounts, and wills and trusts services.

**Alert 4**, Southern Financial Group Inc, which is based in South Carolina, was accused in 2008 of running a so-called Ponzi scheme by soliciting cash from new investors to pay off redemptions to earlier investors.

AML compliance clears the above alerts as false positive as the legal name and location of the alerted subjects do not match that of our client. In addition, our client did not exist when the above activity took place as our client has an incorporation date of February 25<sup>th</sup> 2013. Based on the facts just mentioned, there is reasonable belief that the alerted subject is not our client.

Thanks



Kshitij Golani (K.G.), CAMS  
Vice President | AML Compliance Officer

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**From:** Carl Timcke **On Behalf Of** PWMUS AMLKYC  
**Sent:** Monday, July 10, 2017 2:35 PM

To: Kshitij Golani <[REDACTED]>  
Subject: FW: RDC Alert Southern Financial LLC [I]

Classification: **For internal use only**

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From: Cynthia Rodriguez  
Sent: Friday, July 07, 2017 1:00 PM  
To: PWMUS AMLKYC <[REDACTED]>  
Subject: RDC Alert Southern Financial LLC [I]

Classification: **For internal use only**

Dear AML Compliance,

Attached is an RDC alert for Southern Financial LLC, part of KYC remediation case 01790655. These are false positives as the alerts are referencing Southern Financial Services Inc and Southern Financial Group Inc. This entity has no relation to either of these entities. Jeffrey Epstein is the ultimate beneficial owner of Southern Financial LLC residing at 6100 Red Hook Quarter B3 US Virgin Islands 00802. Please provide clearance. Thank you.

Kind regards,

Cynthia Rodriguez



Cynthia Rodriguez  
Assistant Vice President

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