
From: Andrew Kisz [REDACTED]
on behalf of PWMUS AMLKYC [REDACTED]
Sent: 8/13/2013 1:52:31 PM
To: Amanda Kirby [REDACTED]
CC: PWMUS AMLKYC [REDACTED]; Jacqueline Lightbody [REDACTED]
Subject: CLEARED_Southern Financial LLC [I]
Attachments: pic20116.gif; pic09847.gif; pic31622.gif; Southern Financial LLC_RDC Alert9.pdf; Southern Financial LLC_RDC Alert8.pdf; Southern Financial LLC_RDC Alert7.pdf; Southern Financial LLC_RDC Alert6.pdf; Southern Financial LLC_RDC Alert5.pdf; Southern Financial LLC_RDC Alert4.pdf; Southern Financial LLC_RDC Alert3.pdf; Southern Financial LLC_RDC Alert2.pdf; Southern Financial LLC_RDC Alert1.pdf; Southern Financial LLC_RDC Alert.pdf

Classification: For internal use only

Hi Amanda,

AML Compliance has reviewed the alert dated 5/29/2013 pertaining to our perspective client, Southern Financial LLC. According to the business, our perspective client, Southern Financial LLC was organized in 2013 in the US Virgin Islands. The RDC alerts all occurred prior to the incorporation of our client, and refer to companies located in North Carolina, South Carolina, Virginia, and Florida. Additionally, the companies in the alerts are all corporations whereas our perspective client is a limited liability company. Accordingly, AML Compliance CLEARS these alerts as false positives.

Best regards,
Andrew J. Kisz

(Embedded image moved to file: pic20116.gif)

Andrew J. Kisz
Associate | AML Compliance Officer

DB Services New Jersey, Inc.
Asset & Wealth Management
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA
Tel. [REDACTED]
Email [REDACTED]

(Embedded image moved to file: pic09847.gif)

From: Amanda Kirby/db/dbcom
To: PWMUS AMLKYC/db/dbcom@DBAmericas,
Cc: Andrea Klingenberg/db/dbcom@DBAMERICAS
Date: 08/12/2013 05:38 PM
Subject: Fw: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi,

I realized I never heard back for the below clearance approval. Please let me know as soon as possible as we are now moving ahead with this client and would like to open accounts ASAP.

Thank you,