

Amanda

----- Forwarded by [REDACTED] on 08/12/2013 05:37 PM -----

From: [REDACTED]  
To: [REDACTED]  
Date: 06/12/2013 10:58 AM  
Subject: Fw: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi,

Please approve clearance for these alerts. These alerts do not pertain to our client. Our client, Southern Financial LLC was incorporated in 2013 in the US Virgin Islands. These alerts all occurred before 2013 and in the Continental US

Kind regards,  
Amanda Kirby

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Amanda Kirby  
Associate

Deutsche Asset & Wealth Management  
345 Park Avenue, 10154-0004 New York, NY, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

----- Forwarded by [REDACTED] on 06/12/2013 10:56 AM -----

From: [REDACTED]  
To: [REDACTED]  
Cc: [REDACTED]  
Date: 05/29/2013 12:33 PM  
Subject: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi Amanda

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue. Include copies of all responses along with your KYC.