

Description

**Investment Guidelines**

Initial Financial Review

**High Risk Updates/ACU Exemptions**

Exemption Status	Annual Client Update Due Date	8/25/2016
Auto Exempt Reason	Overdue (1=Yes)	0
Exemption Reason	Past-Due Explanation	
Other (describe reason)	High Risk InPerson Meeting Due Year	2016
Birthdate	Lending Review Due Date	
ACU held in Customer		
ACU on this Customer also Cover		

**Contacts**

**Southern Financial LLC**

Salutation  
 Primary   
 Main Contact   
 Phone  
 Primary Phone Type  
 Email  
 Fax  
 Mobile  
 Description

**DB Accounts**

**N4G023804 - SOUTHERN FINANCIAL LLC**

Account Id [REDACTED]  
 Contact Name **Southern Financial LLC**  
 Product Name **Brokerage Advisory**  
 Market Value **\$108,959,911.00**  
 Date Opened **8/26/2013**  
 Active   
 Balance As Of **9/25/2015**  
 Description

**42952771 - SOUTHERN FINANCIAL LLC**

Account Id [REDACTED]  
 Contact Name **Southern Financial LLC**  
 Product Name **Deposit Transactions**  
 Market Value **\$2,212,470.13**  
 Date Opened **9/5/2013**  
 Active   
 Balance As Of **9/25/2015**  
 Description

**N4G025080 - SOUTHERN FINANCIAL LLC**

Account Id [REDACTED]  
 Contact Name **Southern Financial LLC**  
 Product Name **Brokerage Advisory**  
 Market Value **\$0.00**  
 Date Opened **10/8/2013**  
 Active   
 Balance As Of **9/25/2015**

**N4G026161 - SOUTHERN FINANCIAL LLC**

Account Id [REDACTED]  
 Contact Name **Southern Financial LLC**  
 Product Name **Brokerage Advisory**  
 Market Value **\$8,554,181.00**  
 Date Opened **11/4/2013**  
 Active   
 Balance As Of **9/25/2015**