

Last Modified Date 5/28/2013

Southern Financial, LLC

KYC Party Contact Southern Financial LLC

Role Account Holder

Please Describe

Last Modified Date 5/28/2013

Southern Financial, LLC

KYC Party Contact Southern Trust Company, Inc.

Role Significant Shareholder(>=25%) Non-PIC Entity (Indicate ownership %)

Please Describe Southern Trust is the sole member of Southern Financial and Jeffrey Epstein is the sole shareholder of Southern Trust

Last Modified Date 8/14/2013

Southern Financial, LLC

KYC Party Contact Southern Trust Company, Inc.

Role Significant Shareholder(>=25%) Non-PIC Entity (Indicate ownership %)

Please Describe Southern Trust is the sole member of Southern Financial and Jeffrey Epstein is the sole shareholder of Southern Trust

Last Modified Date 8/14/2013

Case History

8/21/2013 11:31 AM

User Janice Franklin

Action Changed Case Owner from Compliance KYC to Approved KYC.

8/21/2013 11:31 AM

User Janice Franklin

Action Changed Compliance Approver to Janice Franklin. Changed Status from 5. Ready for Compliance Approval to 6. Approved.

8/20/2013 2:59 PM

User Armen Brash

Action Changed Owner (Assignment) from AML & Business Risk to Compliance KYC. Changed Reason for Rejection (If Applicable). Changed AML & Business Risk Approver to Armen Brash. Changed Status from 4. Ready for AML & Bus. Risk Approval to 5. Ready for Compliance Approval.

8/20/2013 9:36 AM

User Armen Brash

Action Changed Reason for Rejection (If Applicable).

8/15/2013 1:59 PM

User Amanda Kirby

Action Changed Case Owner from Amanda Kirby to AML & Business Risk.

8/15/2013 1:59 PM

User Amanda Kirby

Action Changed Status from Rejected to 4. Ready for AML & Bus. Risk Approval.

8/14/2013 4:44 PM

User Armen Brash

Action Changed Case Owner from AML & Business Risk to Amanda Kirby.