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**From:** Xavier Avila [redacted]  
**Sent:** 3/29/2018 12:34:20 PM  
**To:** Nina Tona [redacted]; Zack Bunimovich [redacted]; Martin Zeman [redacted]; Rita Shteynberg [redacted]; Jitan Patel [redacted]  
**CC:** Liam Osullivan [redacted]; Mathew Negus [redacted]; Alastair Mackinlay [redacted]; Davide-A Sferrazza [redacted]; Anthony Lentini [redacted]; Ian Salters [redacted]  
**Subject:** RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]  
**Attachments:** doc02556420171121184635.pdf; Southern Financial Operating Agreement.pdf; Southern Trust Company Inc. Financials June 2017.pdf; Southern Financial LLC Financials June 2017.pdf; SOFL LLC Documents.pdf

Zack, is the below sufficient to move on?

I would like to onboard client in OTC Credit Derivatives but also GED (OTC Equity Derivs). We have trades on both businesses to execute.

Thanks  
Xavier

**From:** Richard Kahn [mailto:redacted]  
**Sent:** Thursday, March 29, 2018 11:13 AM  
**To:** Xavier Avila <redacted>  
**Cc:** Paul Barrett <redacted>; Martin Zeman <redacted>; Liam Osullivan <redacted>; Davide-A Sferrazza <redacted>; Nina Tona <redacted>; Stewart Oldfield <redacted>  
**Subject:** Re: Southern Financial - Client Confirmation [C]

attached info is correct  
thank you

Richard Kahn  
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- **W-9**
- **Organization Chart**
  - Per attachment "Southern Financial Operating Agreement" (pages 1, 16)
  - Southern Trust Company Inc. is the sole member of Southern Financial LLC
  - Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc.
- **UBOs (Owners) that own greater than 10%**
  - Jeffrey Epstein is the sole UBO (see "Organization Chart" above)
- **The source of funds for the UBOs (owners) that are greater than 10%**
  - Jeffery Epstein began his financial career in the mid 70s as an options trader at Bear Stearns and became a partner in early 80s. Early thereafter, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In the mid 90s, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands, which merged into Southern Financial LLC. His wealth has come from his days at Bear Stearns and his financial management firms.
- **List of Legal representatives**