

salesforce.com.

[Close Window](#)
[Print This Page](#)
[Expand All](#) | [Collapse All](#)

Case: 01082293

Relationship Details

Relationship Name	EPSTEIN, JEFFREY RELATIONSHIP	Status	6. Approved
Primary Officer	Paul Morris	Office	New York
Reason for KYC	New Client	Reason for Update (If Applicable)	
Wealth Details Same for All Parties		Reason for Rejection (If Applicable)	<p>1. Please change account opening dates; these are in the past. RESOLVED</p> <p>2. Please mark the accounts legal entity/corporate accounts. RESOLVEI</p> <p>3. Please give a more substantial explanation of how the client was introduced; how did Paul meet Jeffrey in the first place. RESOLVED</p> <p>4. The source of wealth description is not sufficient; please give a more detailed bio/narrative on his source of wealth with employer names/positions held, salaries, etc. The SOW description should include an explanation of how he got started, and how he got to where he is today. RESOLVED</p> <p>5. For the entities, please give a better description of exactly what they do... the purpose of entity/nature of business provided is not sufficient. RESOLVED</p> <p>6. Please attach full searches on the previous name of the company. RESOLVED</p> <p>7. According to the shareholder info attachment; Southern Trust Company Inc is the sole member of Southern Financial LLC; and Jeffrey is the sole shareholder of Southern Trust Company Inc. Therefore, the KYC hasn't been set up correctly to reflect this set up. RESOLVED</p> <p>8. Please attach the LLC operating agreement for Southern Financial LLC this should also include proof of ownership/control. RESOLVED</p> <p>9. Please attach the articles of incorporation and if available, bylaws for Southern Trust Company Inc. RESOLVED</p> <p>10. Please also attach full searches of Financial Trust Company Inc; which merged into Southern Financial LLC. RESOLVED</p> <p>11. Please attach all alerts and alert clearances. RESOLVED</p> <p>Some issues above were not resolved and there is a new issue below:</p> <p>1. Please attach full searches on J.</p>

https://dbforcepb.my.salesforce.com/5006000000Qah5L/p?retURL=/5006000000Qah5LA... 8/28/2015

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)
CONFIDENTIAL

DB-SDNY-0055793
SDNY_GM_00201977

EFTA01365141