

Mitigating Factors

NA

Documents

Documents

Entity Name	Status	Document Type	cRDS ID	Status	Account X Reference	Document Classification	Uploaded By	File Name
Southern Financial, A LLC		Financial Statement	1007406812	Verified		Classification Documents	tyler.osborn@db.com	Southern Trust Company Inc. Financials June 2017.pdf
Southern Financial, A LLC		Account Opening Checklist	1007406812	Verified		Onboarding Documents	soumya.devadiga@db.com	ONB-1135648 Check list.xlsx
Southern Financial, A LLC		Operating Agreement	1007406812	Verified		Onboarding Documents	amber.davis@db.com	Southern Financial Operating Agreement.pdf
Southern Financial, A LLC		Operating Agreement	1007406812	Verified		Onboarding Documents	anthony.lentini@db.com	Southern Financial NAO Docs ALL.pdf
Southern Financial, A LLC		W-9 (December 2014)	1007406812	Verified		Classification Documents	shobha.sriram@db.com	TAX W9_PADD_Southern Financial, LLC_UP_1007406812_20171120.pdf
Southern Financial, A LLC		IRS LDD Checklist	1007406812	Verified		Classification Documents	amber.davis@db.com	LDD Checklist.pdf
Southern Financial, A LLC		Operating Agreement	1007406812	Verified		Onboarding Documents	anthony.lentini@db.com	Southern Financial Operating Agreement.pdf
Southern Financial, A LLC		KYC Summary	1007406812	Verified		Onboarding Documents	anthony.lentini@db.com	SOFL_LLC_Documents.pdf
Southern Financial, A LLC		Operating Agreement	1007406812	Verified		Onboarding Documents	anthony.lentini@db.com	Southern Financial Operating Agreement.pdf
Southern Financial, A LLC		W-9 (December 2014)	1007406812	Verified		Classification Documents	anthony.lentini@db.com	W9 signed 2017 11 20.pdf
Southern Financial, A LLC		W-9 (December 2014)	1007406812	Verified		Classification Documents	jesse-j.cruz@db.com	Tax W9 signed 1007406812 2017 11 20.pdf
Southern Financial, A LLC		CRS LDD Checklist	1007406812	Verified		Classification Documents	jesse-j.cruz@db.com	CRS Validation Check List.pdf
Southern Financial, A LLC		CRS LDD Checklist	1007406812	Verified		Classification Documents	jesse-j.cruz@db.com	CRS Validation Check List.pdf