



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP				
Risk Rating Comments:					
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee	<input type="checkbox"/> Bearer Shares		

#### 4. Attachments

A. Type of Photo ID Provided  Drivers License  Passport  National/State ID  Other : Darren Indyke & Richard Kahn GCIS # 486405 & [REDACTED] b KYC # 01804531

B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached  Yes  No

C. Please indicate the results of the database searches performed

RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

D. Please summarize any negative results from the database searches indicated above: Harry Beller:

- No negative media
- Harry Beller is the plaintiff in the court case, also it has been disposed.

[REDACTED]

- No negative media
- No court cases

Butterfly Trust:

- No negative media
- No court cases

[REDACTED]

- No negative media
- No court cases

Jeffrey Edward Epstein:

- Negative media relates to the sex offence in the past which are already cleared. (KYC # - 01790655)
- Court cases relates to Jeffrey's sex offence in the past which is already cleared, another is a recent ongoing civil lawsuit pertaining to fraud, but part of normal business operations for this client. And in one of the case he's neither defendant nor plaintiff. He's just named as a respondent and the case is immaterial in nature.
- Criminal Filings relates to sex offence which is already cleared in the past
- RDC alert found - Sex offences in the past which has been cleared - Clearance attached.

[REDACTED]

- No negative media
- No court cases

Darren Indyke:

- Negative news in Google relates to Jeffrey Epstein's Foundation and are not material in nature.
- Court case mentioned in Google search relates to Jeffrey Epstein's sex offence in the past which has been cleared already. Darren is just an attorney for Jeffrey in the case.
- Fircosoft alert has been cleared by AML Compliance. Clearance attached.

Richard Kahn:

- No negative media
- Court case was dismissed and he was not barred from NYSE Arca and was cleared in the previous KYCs. Attached clearances
- RDC alert found - realates to violation of NYSE Arca Equities Rule - Clearance attached

[REDACTED]

- No negative media