

From: Jofin Varghese
Sent: Wednesday, December 17, 2014 10:36 AM
To: Dmitri Saks
Cc: CAGNY NCA; Manikandan Muralidharan; Sujith Shetty; US-CB S-AML; Anastasia Pringle; Kumud Sharma
Subject: RE: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]

Classification: For internal use only

Hi Dmitri,

The UBO is the sole controlling person of our entity however the Board of Directors who executed the operating agreement are the part of the Parent company. We have Considered the confirmation from the BOD of the parent entity which is an independent execution. While the procedure indicated to accept the UBO confirmation provided by the board of director either through an client email or Letter head or formal legal agreements. Kindly provide your view on the same

Kind regards,
Jofin Varghese

Client Onboarding - NY CAG
DBOI Global Services Private Limited
IB operations
Velankani Tech park, No 43, Electronic City, Hosur Road,, 560100 Bangalore, India
Tel. Mobile [REDACTED]
Email [REDACTED]
Escalation Point: [REDACTED]
Back Up:sagar.prakash@db.com, [REDACTED]

☞ Dmitri Saks--12/17/2014 08:30:54 PM--Classification: For internal use only Hi Jofin,

Dmitri Saks/db/dbcom@DBCOEX

From:
To: Jofin Varghese/db/dbcom@DBAMERICAS,
Cc: CAGNY NCA/db/dbcom@DBAmericas, Manikandan Muralidharan/db/dbcom@DBAPAC, Sujith Shetty/db/dbcom@DBAMERICAS, US-CB S-AML/db/dbcom@DBAMERICAS
Date: 12/17/2014 08:30 PM
Subject: RE: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]

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Hi Jofin,

As stated in the attached, Jeffrey Epstein is the only control person, hence the "conflict of interest supposition" still exists. Besides, the supplied Board of Directors paper is neither notarized/witnessed/certified nor represents a formal filing document. In other words, it is not a strong legal proof. In such cases we recommend requesting a letter/email from an internal or external legal counsel.