
From: Kerrian Gordon [REDACTED]
Sent: 1/16/2015 3:06:20 PM
To: Wayne Salit [REDACTED]
Subject: FW: Southern Financial LLC - EDD [C]

Classification: **Confidential**

Kind regards,
Kerrian Gordon

Kerrian Gordon
AML - Compliance

Deutsche Bank Securities Inc.
60 Wall Street
New York, NY 10005
Tel. (212) 250-0961
Email kerrian.gordon@db.com

From: Dmitri Saks
Sent: Friday, December 19, 2014 11:17 AM
To: Wayne Salit
Subject: Southern Financial LLC - EDD [C]

Classification: **Confidential**

Wayne,

Enhanced Due Diligence was conducted on Southern Financial LLC, a Private Investment Vehicle incorporated in the U.S. Virgin Islands, which is a Level II country, as the result of a New Client Adoption request to open a Global Markets relationship. The below is for your review and approval.

Nature of Escalation –

- The escalation is due to the client being a Private Investment Vehicle, which is considered High risk.

Note: The documentation for this account is available for review on the shared drive via the following path:
L:\Central_Functions_Compliance\Comp-nyseccom\Varela\AML\Pending Investigations, EDD, EDRs\Southern Financial LLC\

Research Findings (LEXIS/GOOGLE SEARCHES) –