
From: Wayne Salit [REDACTED]
Sent: 12/22/2014 5:41:22 PM
To: Dmitri Saks [REDACTED]; Carlos-A Garcia [REDACTED]
CC: Kerrian Gordon [REDACTED]
Subject: FW: Southern Financial LLC - EDD [C]

Classification: **Confidential**

Dmitri/Carlos –

I need to know the name of the business person who is sponsoring this NCA. I could not find this in the file.

Once I get the name of the sponsoring business person, I can escalate to the appropriate business head.

Please let me know ASAP tomorrow.

Kind Regards,
Wayne Salit

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) –

- Southern Financial LLC is a private investment vehicle incorporated under the laws of the Virgin Islands of the United States. The sole member of Southern Financial LLC is Southern Trust Company, Inc. which is also incorporated in the U.S. Virgin Islands. The sole shareholder of Southern Trust Company, Inc. is Jeffrey Edward Epstein.

Ownership/UBOs –