

**From:** Donna Kerrigan [REDACTED]  
**Sent:** 10/11/2018 10:54:21 AM  
**To:** Leslie Roth [REDACTED]  
**CC:** Robert Frohlich [REDACTED]; Stewart Oldfield [REDACTED]  
**Subject:** FW: Southern Financial - AUM example [I]

Classification: **For internal use only**

Hi Leslie – Please can you take a look once the month-end is complete today.

Thanks,  
Donna

**From:** Stewart Oldfield  
**Sent:** Thursday, October 11, 2018 10:52 AM  
**To:** Donna Kerrigan <[REDACTED]>  
**Subject:** FW: Southern Financial - AUM example [I]

FYI, KCP brokerage (and also AG deposits) don't seem to be flowing into GMIS CBV data. NNA data seems to be unaffected

**From:** Bradley Gillin  
**Sent:** Thursday, October 11, 2018 10:19 AM  
**To:** Stewart Oldfield <[REDACTED]>  
**Subject:** Southern Financial - AUM example [I]

Classification: **For internal use only**

Both [REDACTED] and [REDACTED] account balances have been removed from our GMIS reports.

**GMIS:**

|                        |            |                  |            |       |
|------------------------|------------|------------------|------------|-------|
| SOUTHERN FINANCIAL LLC | [REDACTED] | Classic Advisory | [REDACTED] | 1,188 |
|                        | [REDACTED] |                  | [REDACTED] | 0     |
|                        | [REDACTED] |                  | [REDACTED] | 0     |
|                        | [REDACTED] |                  | [REDACTED] | 0     |
|                        |            | Classic Advisory |            | 1,188 |
| SOUTHERN FINANCIAL LLC |            |                  |            | 1,188 |

**Account Balances:**

| Customer Name: Southern Financial LLC (6 records) |   |                            |                  |
|---|---|----------------------------|------------------|
|   |   |                            | \$136,024,620.23 |
| [REDACTED]  | [REDACTED] - SOUTHERN FINANCIAL LLC     | Brokerage Advisory         | \$0.00           |
| [REDACTED]  | [REDACTED] - SOUTHERN FINANCIAL LLC     | Brokerage Advisory         | \$21,636,001.00  |
| [REDACTED]  | [REDACTED] - SOUTHERN FINANCIAL LLC     | Deposit Transactions       | \$1,187,706.86   |
| [REDACTED]  | [REDACTED] - SOUTHERN FINANCIAL LLC     | Brokerage Advisory         | \$111,664,173.00 |
| [REDACTED]  | [REDACTED] - SOUTHERN FINANCIAL LLC     | DB AG NY Preferred Deposit | \$1,536,739.37   |
| [REDACTED]  | STRUPDT0118001 - SOUTHERN FINANCIAL LLC | Structured Transactions    | -                |