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**From:** Stewart Oldfield [REDACTED]  
**Sent:** 10/23/2017 10:37:15 AM  
**To:** Amlcompliance Inquiries [REDACTED]  
**CC:** Cynthia Rodriguez [REDACTED]; Andrew Gallivan [REDACTED]  
**BCC:** [REDACTED]  
**Subject:** RE: Inquiry Regarding Account [REDACTED] Client: SOUTHERN TRUST COMPANY, INC.; Case No. 144434 - DUE October 30 [I]

Purpose of the wire is advisory fees

Alpha Group Capital is an RIA that is now providing advisory and trading services to Southern Trust and Southern Financial

You should expect to see wires consistently between the two parties.

Please call with any questions.

Thanks

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**From:** Danya Friedman **On Behalf Of** Amlcompliance Inquiries  
**Sent:** Monday, October 23, 2017 10:17 AM  
**To:** Stewart Oldfield <[REDACTED]>  
**Cc:** Amlcompliance Inquiries [REDACTED]; Cynthia Rodriguez [REDACTED]; Andrew Gallivan [REDACTED]  
**Subject:** Inquiry Regarding Account [REDACTED] Client: SOUTHERN TRUST COMPANY, INC.; Case No. 144434 - DUE October 30 [I]  
**Importance:** High

Classification: **For internal use only**

Good Morning:

The above referenced account has had the following activity. To assist in this review and further document your supervision of this account, please provide information regarding the following transactions. **Your complete response must be received within 5 business days.**

**Outgoing Wire**

**09/19/2017, \$78,938.00, ALPHA GROUP CAPITAL LLC at BANK OF AMERICA , N.A., NY**

- 1. Please explain the purpose of this Outgoing Wire.**
- 2. Please explain the relationship between the Client and Counterparty.**
- 3. Please explain the business activities of the Counterparty.**

Please provide any additional pertinent information.

Thank you in advance for your prompt attention to this matter.

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance  
Deutsche Bank  
60 Wall St., 23 Floor