

Subject: CLEARED_Southern Financial LLC [I]
From: PWMUS AMLKYC <[REDACTED]>
Date: Tue, 13 Aug 2013 13:52:31 -0400
To: Amanda Kirby <[REDACTED]>
Cc: PWMUS AMLKYC <[REDACTED]>,
Jacqueline Lightbody <[REDACTED]>

Classification: For internal use only

Hi Amanda,

AML Compliance has reviewed the alert dated 5/29/2013 pertaining to our perspective client, Southern Financial LLC. According to the business, our perspective client, Southern Financial LLC was organized in 2013 in the US Virgin Islands. The RDC alerts all occurred prior to the incorporation of our client, and refer to companies located in North Carolina, South Carolina, Virginia, and Florida. Additionally, the companies in the alerts are all corporations whereas our perspective client is a limited liability company. Accordingly, AML Compliance CLEARS these alerts as false positives.

Best regards,
Andrew J. Kisz

(Embedded image moved to file: pic20116.gif)

Andrew J. Kisz
Associate | AML Compliance Officer

DB Services New Jersey, Inc.
Asset & Wealth Management
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA
Tel. +1 (904) 596-0971
Email [REDACTED]

(Embedded image moved to file: pic09847.gif)

From: Amanda Kirby/db/dbcom

To: PWMUS AMLKYC/db/dbcom@DBAmericas,

Cc: Andrea Klingenberg/db/dbcom@DBAMERICAS

Date: 08/12/2013 05:38 PM

Subject: Fw: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi,

I realized I never heard back for the below clearance approval. Please let me know as soon as possible as we are now moving ahead with this client and would like to open accounts ASAP.

Thank you,
Amanda

----- Forwarded by Amanda Kirby/db/dbcom on 08/12/2013 05:37 PM -----

From: Amanda Kirby/db/dbcom

To: PWMUS AMLKYC/db/dbcom@DBAmericas,

Date: 06/12/2013 10:58 AM

Subject: Fw: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi,

Please approve clearance for these alerts. These alerts do not pertain to our client. Our client, Southern Financial LLC was incorporated in 2013 in the US Virgin Islands. These alerts all occurred before 2013 and in the Continental US

Kind regards,
Amanda Kirby

(Embedded image moved to file: pic31622.gif)

Amanda Kirby
Associate

Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1(212)454-6439
Fax +1(646)863-9836
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

----- Forwarded by Amanda Kirby/db/dbcom on 06/12/2013 10:56 AM -----

From: PWM BIS-Research/db/dbcom@DBAPAC

To: [REDACTED],

Cc: PWMUS AMLKYC/db/dbcom@DBAmericas

Date: 05/29/2013 12:33 PM

Subject: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi Armanda

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:

Forward explanation of whether the alert pertains to your client directly to compliance.

Receive confirmation from compliance that alert can be removed from the queue. Include copies of all responses along with your KYC.

RDC Alert :-- Southern Financial LLC

(See attached file: Southern Financial LLC_RDC Alert9.pdf) (See attached file: Southern Financial LLC_RDC Alert8.pdf) (See attached file: Southern Financial LLC_RDC Alert7.pdf) (See attached file: Southern Financial LLC_RDC Alert6.pdf) (See attached file: Southern Financial LLC_RDC Alert5.pdf) (See attached file: Southern Financial LLC_RDC Alert4.pdf) (See attached file: Southern Financial LLC_RDC Alert3.pdf) (See attached file: Southern Financial LLC_RDC Alert2.pdf) (See attached file: Southern Financial LLC_RDC Alert1.pdf) (See attached file: Southern Financial LLC_RDC Alert.pdf)