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Southern Financial LLC

Customer Record

Type

Client

Customer Name Southern Financial LLC

Relationship SOUTHERN FINANCIAL

RELATIONSHIP

* Type

SSN

Organization

Federal Tax ID # 66-0799192

Referral Source

Name of Referral

Source

Third Party Referral

Source

Customer Owner Paul Morris

German PO

Created By Komal Shahani, 5/28/2013 10:27 AM

Last Modified By Relational Junction, 9/28/2015 2:13 PM

00000483882

GCIS Customer

Number

Bank 1

* Moderate Risk

* High Risk

Risk Reason KYC1195100

Risk Rating: .521

C 02

KYC 1082293

Status

Client Since Date

Former Client?

Portfolio

Management Team

Covenant Contact

Preference

* Booking Location

Switzerland

Form K

Custom Links

View DB Accounts and Revenue Client/Assets At Risk

Request Customer Deletion

Request Primary Officer Change Import Documents

Request New Relationship

Launch NAO Wizard

Launch Due Diligence
Classification
Potential New
Revenue
Client
Satisfaction
Industry
Unconfirmed
Investor Status
Investor Status
Definitions
* DB is
Trustee/CoTrustee
[http://pwm.intranet.db.com/new/filehandler.php?
getFile=us/docs/InvestorStatusAddendum__10_24_07.pdf](http://pwm.intranet.db.com/new/filehandler.php?getFile=us/docs/InvestorStatusAddendum__10_24_07.pdf)
Export
Documents
View Documents From
Repository
Log Client Complaint
Create Annual Client Update
Request ACU Contact Exemption
View Exemption Guidelines
Generate Key Relationship
Report
Launch ALAT Process
View Loan Covenant Details
Active
8/26/2013
Risk Type
Volcker Covered
Fund?
Will Appointment
Gross Estate
<https://dbforcepb.my.salesforce.com/0016000000qaNVw/p?retURL=/0016000000qaNVw>
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Revenue Tier D (< \$25K)

Forbes

Ranking

* DB

Employee?

* DB managed

PIC

* Bearer

Shares?

Segment

Financial Profile (KYC Information)

* Net Worth

(Individual)

* Investable Assets <\$1 MM

*Estimated Annual

Income (Individual)

*Estimated Annual

Gross Income

(Entity)

*Estimated Annual

Net Profit (Entity)

\$2,000,000.00

\$1,500,000.00

Investment Objective

Risk Tolerance

Sophistication

Source Of Income

* Source of Wealth

(Individual)

* Description of

Wealth/Entity Assets

The initial funding in February 2013

was \$1,000 from the sole shareholder

of the sole managing member (Jeffrey

Epstein).

Assets Held Elsewhere (KYC Information)

* Institution 1 JPMorgan

* Institution 2

* Institution 3

Additional Information (Entities Only)

* Nature of business

* Est. AUM 1

* Est. AUM 2

* Est. AUM 3

\$1,000,000

This business is funded by Jeffrey

Epstein's wealth. This company was

formed to hold Mr. Epstein's personal

wealth and invest in different

ventures. This company invests in real estate, equities, commodities, etc and gets its revenue from the gains it makes in these investments. It is a company formed to invest the assets of Mr. Epstein

* Country of Incorporation
Registration

* Date of
Incorporation/Registration

* Countries where
business is transacted

* Number of Employees 3
US Virgin Islands

2/25/2013

US Virgin Islands

* Type of Entity Company

* Type of Entity
Other (specify)

* Purpose of Entity: Private Investment

* Purpose of Entity
Other (specify)

*Description of
Organizational

Ownership

Southern Trust Company Inc is the sole member of Southern Financial LLC. Jeffrey Epstein is the sole shareholder of Southern Trust

Company Inc

Biography

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Description

Investment Guidelines

Initial Financial

Review

High Risk Updates/ACU Exemptions

Exemption Status

Auto Exempt Reason

Exemption Reason

Other (describe
reason)

Birthdate

ACU held in

Customer

ACU on this

Customer also Cover

Contacts

Southern Financial LLC

Salutation

Primary

Main Contact

Phone

Primary Phone Type

Email

Fax

Mobile

Description

DB Accounts

N4G023804 - SOUTHERN FINANCIAL LLC

Account Id N4G023804

Contact Name Southern Financial LLC

Product Name Brokerage Advisory

Market Value \$108,959,911.00

Date Opened 8/26/2013

Active

Balance As Of 9/25/2015

Description

N4G025080 - SOUTHERN FINANCIAL LLC

Account Id N4G025080

Contact Name Southern Financial LLC

Product Name Brokerage Advisory

Market Value \$0.00

Date Opened 10/8/2013

Active

Balance As Of 9/25/2015

42952771 - SOUTHERN FINANCIAL LLC

Account Id 42952771

Contact Name Southern Financial LLC

Product Name Deposit Transactions

Market Value \$2,212,470.13

Date Opened 9/5/2013

Active

Balance As Of 9/25/2015

Description

N4G026161 - SOUTHERN FINANCIAL LLC

Account Id N4G026161

Contact Name Southern Financial LLC

Product Name Brokerage Advisory

Market Value \$8,554,181.00

Date Opened 11/4/2013

Active

Balance As Of 9/25/2015

Annual Client Update

Due Date

Past-Due Explanation

High Risk InPerson

Meeting Due Year

Lending Review Due

Date

2016

8/25/2016

Overdue (1=Yes) 0

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Description

PIC483882 - Southern Financial LLC
Account Id PIC483882
Contact Name Southern Financial LLC
Product Name PIC DESK
Market Value
Date Opened 2/9/2015
Active
Balance As Of

Description

N4G025403 - SOUTHERN FINANCIAL LLC
Account Id N4G025403
Contact Name Southern Financial LLC
Product Name Brokerage Advisory
Market Value \$0.00
Date Opened 11/4/2013
Active
Balance As Of 9/25/2015

Description

Opportunities
Suntex
Product Family Brokerage
Stage Developed
Close Date 12/31/2015
Total Assets \$5,000,000.00
Total Estimated Revenue \$0.00
Probability (%) 25
Expected Revenue
Lead Source
Owner Full Name Paul Morris
Won
Fiscal Period Q1-2015
Next Step
Type New Product - Existing Client
Last Modified Date 9/1/2015

Description

Structured Credit
Product Family Global Lending
Stage Proposal
Close Date 9/30/2015
Total Assets \$50,000,000.00
Total Estimated Revenue \$1,500,000.00
Probability (%) 50
Expected Revenue
Lead Source
Owner Full Name Paul Morris
Won
Fiscal Period Q4-2014
Next Step

44129252 - SOUTHERN FINANCIAL LLC

Description

Account Id 44129252

Contact Name Southern Financial LLC

Product Name Money Market Business Account

Market Value \$0.00

Date Opened 9/5/2013

Active

Balance As Of 12/4/2013

Description

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Type New Product - Existing Client

Last Modified Date 5/27/2015

Description

Additional Brokerage

Product Family Brokerage

Stage Business Committed-Not Funded

Close Date 3/31/2015

Total Assets \$75,000,000.00

Total Estimated Revenue \$2,000,000.00

Probability (%) 75

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q2-2014

Next Step

Type Additional Assets - Existing Product

Last Modified Date 1/7/2015

Description

More Brokerage

Product Family Brokerage

Stage Business Awarded

Close Date 12/13/2013

Total Assets \$15,000,000.00

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q1-2013

Next Step

Type Additional Assets - Existing Product

Last Modified Date 12/13/2013

Description

Additional Funds

Product Family Brokerage

Stage Business Awarded

Close Date 12/12/2013

Total Assets \$11,000,000.00

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q1-2013

Next Step

Type Additional Assets - Existing Product

Last Modified Date 12/12/2013

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Description

Additional Brokerage

Product Family Brokerage

Stage Business Awarded

Close Date 12/5/2013

Total Assets \$10,000,000.00

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q1-2013

Next Step

Type Additional Assets - Existing Product

Last Modified Date 12/9/2013

Description

Brokerage Funds

Product Family Brokerage

Stage Business Awarded

Close Date 11/26/2013

Total Assets \$5,992,414.75

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q4-2012

Next Step

Type Additional Assets - Existing Product

Last Modified Date 11/26/2013

Description

Brokerage #2

Product Family Brokerage

Stage Business Awarded

Close Date 10/18/2013

Total Assets \$14,500,000.00

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q4-2012

Next Step

Type New Product - Existing Client

Last Modified Date 10/18/2013

Description

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Brokerage

Product Family Brokerage

Stage Business Awarded

Close Date 10/14/2013

Total Assets \$45,367,567.00

Total Estimated Revenue \$0.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q4-2012

Next Step

Type New Product - Existing Client

Last Modified Date 10/15/2013

Description

Southern Financial LLCProduct

Family Banking Products

Stage Business Awarded

Close Date 10/10/2013

Total Assets \$330,000.00

Total Estimated Revenue \$1,320.00

Probability (%) 100

Expected Revenue

Lead Source

Owner Full Name Paul Morris

Won

Fiscal Period Q4-2012

Next Step

Type New Product - New Client

Last Modified Date 10/10/2013

Description

Customer Team

Amanda Kirby

Team Role Banking Officer

Cases

01467139

Case Record Type Cash Disbursement - Wire - USD - Banking

Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 9/28/2015

Status New

Owner Jj Litchford

Description

01433583

Case Record Type Cash Disbursement - Wire - USD - Banking

Type

Case Subject

Cynthia Rodriguez

Team Role Private Banker Support

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Contact Name Southern Financial LLC

Date Opened 7/28/2015

Status Verified

Owner Banking STP Processing

Description

01422381

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 6/30/2015

Status Verified

Owner Banking STP Processing

Description

01400756

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 5/29/2015

Status Verified

Owner Banking STP Processing

Description

01381279

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 4/13/2015

Status Verified

Owner Banking STP Processing

Description

01363771

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 3/12/2015

Status Verified

Owner Banking STP Processing

Description

01345309

Case Record Type Internal Cash Transfer - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 2/9/2015

Status Verified

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Owner Banking STP Processing

Description

01278437

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 9/9/2014

Status Verified

Owner Banking STP Processing

Description subcr to Kyara Investment III, LLC to fund Blockstream Investment
01251916

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 7/2/2014

Status Verified

Owner Banking STP Processing

Description subcr to Kyara Investment II, LLC to fund Wearality Investment
01231158

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 5/14/2014

Status Verified

Owner Banking STP Processing

Description

01229686

Case Record Type Case

Type Customer Request

Case Subject Service Issue- Banking

Contact Name Southern Financial LLC

Date Opened 5/12/2014

Status Closed

Owner Kathryn Stanfield

Description

Margaux Mcgrath [12:21 PM]:

Hi Kathryn! Is there a way to rush wire transfer case 01229660? Client
requested Fedref ASAP and I

want to ensure it goes through

Kathryn J Stanfield [12:22 PM]:

let me get them to approve it

Margaux Mcgrath [12:22 PM]:

Thanks so much!

01229660

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Transfer from 42952771 - SOUTHERN FINANCIAL LLC

Transfer to 42959017

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Contact Name Southern Financial LLC

Date Opened 5/12/2014

Status Verified

Owner Banking STP Processing

Description

01226546

Case Record Type Cash Disbursement - Wire - USD - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 5/2/2014

Status Verified

Owner Banking STP Processing

Description

01144345

Case Record Type Checkbook Order - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 10/29/2013

Status Verified

Owner GTO - Banking (Financial)

Description DLT103-1. Please Rush. Address on checks previously ordered
wasn't correct

01141603

Case Record Type Checkbook Order - Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 10/23/2013

Status Verified

Owner GTO - Banking (Financial)

Description DLT103-3. 3 to a page

01139738

Case Record Type Misc Client Instructions -Banking
Type

Case Subject

Contact Name Southern Financial LLC

Date Opened 10/18/2013

Status Verified

Owner GTO - Banking (Non-Financial)

Description Please link this account and account #42952771 to Online Banking
ID: 1030850

01115898

Case Record Type Case

Type Internal Request

Case Subject New Account Opening

Contact Name

Date Opened 8/20/2013

Status Closed

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Owner DBOI Account Opening Review

ABR- Please vett the signing authorities & review this account with W-9 for approval (Attn: Pema Sherpa).

Description

New Banking

KYC#: 01082293

NAO#: 648057

Open Activities

REMINDER: KYC Update required for this Customer. Click on "Related To" link.

Type Call

Task

Task/Event Record Type Task

Due Date 9/5/2014

Status In Progress

Priority Normal

Assigned To Paul Morris

Comments Please change the Staus of this task to 'Completed' when the KYC Update is Submitted.

Notes & Attachments

0858_001.pdf

Type Attachment

Owner Jj Litchford

Description

View file

Related To 01467139

W-9.pdf

Type Attachment

Owner Kusam Saini

Description

View file

Related To 01115898

SF Account Opening Docs Signed.pdf

Type Attachment

Owner Amanda Kirby

Description

View file

Related To 01115898

Annual Client Updates

0070002

Meeting/Call Date 8/25/2015

Meeting/Call Type Phone Call

Created By Amanda Kirby, 9/2/2015 3:32 PM

0063940

Meeting/Call Date 9/3/2014

Meeting/Call Type Phone Call

Created By Amanda Kirby, 9/5/2014 11:53 AM

AIS Requests

AIS-00003326

revised first page of application.pdf

Type Attachment

Owner Kusam Saini

Description

View file

Related To 01115898

W-9 ST and SF.pdf

Type Attachment

Owner Amanda Kirby

Description

View file

Related To 01115898

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Requestor Paul Morris

Product: Secondary Opportunities Fund III LP MASTER FUND

Request Status Fulfilled

Request Date: 1/17/2014

AIS-00003346

Requestor Paul Morris

Product: Secondary Opportunities Fund III LP - U.S Taxable

Request Status Fulfilled

Request Date: 1/21/2014

Audit Trail

686396

686399

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