

ISDA preliminary requirements:

- 1) New Account Forms (PWM Account) – n/a
- 2) Name of Counterparty -
- 3) Authorized trading persons (email, phone and fax) –  
Jeffrey Epstein: jeevacation@gmail.com  
<mailto:jeevacation@gmail.com>, [REDACTED], [REDACTED]
- 4) Primary contact with regards to documentation (email, phone and fax) –  
Harry Beller: [REDACTED] <mailto:[REDACTED]>,  
(212) 971-1508  
Jeffrey Epstein: jeevacation@gmail.com  
<mailto:jeevacation@gmail.com>, [REDACTED], [REDACTED]
- 5) 2 years of financial statements (audited preferred) -
- 6) Ownership Structure and Purpose  
Southern Trust Company Inc is the sole member of Southern Financial and Jeffrey Epstein is the sole shareholder of Southern Trust
- 7) Bank Statements (if client does not hold a lot of assets with DB)

Preliminary Background Information:

\*\*\*Documents should be less than a year old, if possible

Legal Name and Address of account

Southern Financial LLC  
6100 Redd Hook Quarter, B3  
St. Thomas 00802  
Virgin Islands (U.S)

Account contact email, telephone number, fax number –

Jeffrey Epstein: jeevacation@gmail.com <mailto:jeevacation@gmail.com>, [REDACTED]  
[REDACTED], [REDACTED]

- 3) Trading Capacity (as Agent or Principal) -
- 4) Nature of Business –  
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
- 5) If trading as Agent/Investment Manager, we will need to know the Legal Entity Names of the Managed (sub) Accounts –
- 6) US Tax ID Number for US Domiciled Accounts -  
66-0799192
- 7) Corporate Resolution Letter / Certificate of Incorporation / Certificate of Limited Partnership –

Trading Relationship Authority - Corporate Resolution, etc. If needed, you may also complete the attached blanket Corporate Resolution. This document should be printed on your company letter head, fully executed and returned to us. -

8) An Investment Management Agreement/Investment Advisory Agreement or Trading Authorization -

9) Name of a Senior/Controller Officer (CEO, COO, CFO, Principal) - Jeffrey Epstein

10) All legal representatives (List of Directors - Registrar of Directors/- Annual Report/3rd Party Auditor/internal Legal Counsel) -

11) Senior Management - 5 Control Person(s) or all if fewer -

12) List of all Ultimate Beneficial Owners (25% or more):

a. Full Legal Name - Jeffrey Epstein

b. Nationality - USA

c. Date of Birth - January 20, 1953

d. Exact amount of ownership interest - 100

e. Source of wealth -

Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms

For above UBOs with Nationality from Level 3/4 Country, Government Photo ID e.g. Passport/ Driving License required

Ownership must be documented with Operating Agreements if this lists a breakdown with along with a percentage of holdings of the Ultimate Beneficial Owners. Also may be done through Share Register/ Annual Report/ Reliable 3rd party/ Internal Legal Counsel. \*\*If there are no such individuals nor entities please provide an email or letterhead with a statement to that effect. The information must be provided by a senior manager, internal counsel, compliance officer, etc. -

10) Settlement Instructions (Full DTC instructions needed for account opening coming directly from the client) -

11) Products that Account is interested in trading -

\*\*\*Please keep in mind depending on the Entity Type of the Account, additional documentation or due diligence may be required from TMG QA

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