

Subject: RDC Alert :--Southern Financial LLC [I]
From: PWM BIS-Research <pwm.bis- [REDACTED]>
Date: Wed, 29 May 2013 12:32:38 -0400
To: [REDACTED]
Cc: PWMUS AMLKYC < [REDACTED]>

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)