

Subject: Re: ACATS for Southern Financial/Trust [I]
From: Tazia Smith <[REDACTED]>
Date: Mon, 09 Sep 2013 17:49:17 -0400
To: Paul Morris <[REDACTED]>

Classification: For internal use only

We're on it Paul. You, Caroline and I need to review an accurate list of the positions that can/cannot/wouldn't come. Based on our conversation Friday, JE

knows not all will be coming over (proceeds from proprietary product and OTC options will move once matured). We just want to be sure that list of positions that cannot move, is accurate. Jay should have that for is in the morning (he has to check with Pershing, ACAT, etc...various groups); some positions will be a discussion for you, Caroline and I (eg. we agreed novating the FX options wasn't realistic).

Sit down in the morning and then go back to Jeff with this info as part of our note of thanks for Friday's meeting?

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Tazia Smith
Director | Key Client Partners - US

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From: Paul Morris/db/-
dbcom

To: Amanda Kirby/db/dbcom@DBAMERICAS, Jay Lipman/db/-dbcom@DBAMERICAS,

Cc: Tazia Smith/db/dbcom@DBAMERICAS, Vahe Stepanian/db/-dbcom@DBAmericas

Date: 09/09/2013 05:09
PM

Subject: Re: ACATS for Southern Financial/Trust
[I]

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Thanks need to move this forward,

----- Original Message -----

From: Amanda Kirby

Sent: 09/09/2013 04:13 PM EDT

To: Jay Lipman

Cc: Tazia Smith; Vahe Stepanian; Paul Morris

Subject: Re: ACATS for Southern Financial/Trust [I]

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Thank you, Jay. I'll send the account docs to the client today and we can discuss the ACATs further when Paul is in the office tomorrow

Best,
Amanda Kirby

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Amanda Kirby
Associate

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From: Jay Lipman/db/-
dbcom

To: Amanda Kirby/db/-
dbcom@DBAMERICAS,

Cc: Tazia Smith/db/dbcom@DBAMERICAS, Vahe Stepanian/db/-
dbcom@DBAMERICAS

Date: 09/09/2013 04:03
PM

Subject: Re: ACATS for Southern Financial/Trust
[I]

Classification: For internal use only

Hi Amanda,

As we discussed earlier, the ACAT's will be more complicated than usual due to the exotic nature of some of the assets in the accounts.

As for Jeepers, please find attached below the necessary brokerage documents for a corporate account. Please find Completion Instructions: Account Agreement – Please complete highlighted areas on pgs. 1, 6, 7, 14,

and
15

Corp Acct. Authorization – Please complete highlighted area and sign/date
bottom of pages 1 + 2

[attachment "AWM Acct. Agreement.pdf" deleted by Amanda Kirby/db/dbcom]
[attachment "Corporate Account Authorization.pdf" deleted by Amanda
Kirby/db/dbcom] [attachment "New Corporate Info Sheet 6.2012.pdf" deleted by
Amanda Kirby/db/dbcom]

Kind Regards,

Jay Lipman

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Jay Lipman
Analyst I Markets Coverage Group

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From: Amanda Kirby/db/-
dbcom

To: Jay Lipman/db/-
dbcom@DBAMERICAS,

Cc: Tazia Smith, Vahe Stepanian/db/-
dbcom@DBAmericas

Date: 09/09/2013 10:59

AM

Subject: ACATS for Southern Financial/Trust
[I]

Classification: For internal use only

Hi Jay,

Wanted to touch base in regards to the ACATS for Southern Trust and Southern Financial. I know you were working on them on Friday. Would like to send them to the client today, if possible.

Also, Jeepers Inc was KYC approved on our end. I am going to work on getting those account docs prepared and send them over today. Would you mind sending me Brokerage accounts for them?

Thank you

Best,
Amanda Kirby

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Amanda Kirby
Associate

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