

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]
From: Nina Tona <[REDACTED]>
Date: Mon, 26 Feb 2018 18:12:23 -0500
To: Rita Shteynberg <[REDACTED]>,
Zack Bunimovich <[REDACTED]>,
Jitan Patel <[REDACTED]>,
Lindsay Robinson <[REDACTED]>
Cc: [REDACTED],
Davide-A Sferrazza <[REDACTED]>

Classification: For internal use only

Jitan

Please advise why Southern Financial is on the red list. This client was asked to be retained through Jane Varley and we are in the process of and NCA and product extension. This also happened to another client today, Tonell. I have not been part of the emails in regards to the red list. Please advise where we go from here as its very frustrating to find out while we are in the middle of an NCA and while we were trying to conduct trades.

Thank you

Nina Tona

From: Rita Shteynberg
Sent: Monday, February 26, 2018 5:48 PM
To: Nina Tona <[REDACTED]>; Zack Bunimovich <[REDACTED]>;
Jitan Patel <[REDACTED]>; Lindsay Robinson <[REDACTED]>
Cc: [REDACTED]; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Nina-

If a client has been red listed we cannot proceed with the NCA process.

Please speak with Jitan Patel about red listed clients and the process around this.

Thank you

From: Nina Tona
Sent: Monday, February 26, 2018 4:46 PM
To: Zack Bunimovich <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Yes, we don't understand why it was put on that list. We need to make sure the NCA is completed and extended for global credit derivatives.

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Monday, February 26, 2018 4:44 PM
To: Nina Tona <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155

****URGENT** [I]

Classification: For internal use only

Hi Nina,

If the client was put on the red list that means we can't trade with them?
Is this request still needed?

Thanks,

Zack

From: Nina Tona
Sent: Monday, February 26, 2018 4:14 PM
To: Zack Bunimovich <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]
Importance: High

Classification: For internal use only

Hello Zack,

Please advise on the below as I was told they were put on a "red List".

Thank you

Nina Tona

From: Nina Tona
Sent: Tuesday, February 20, 2018 4:12 PM
To: Zack Bunimovich <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; [REDACTED]
>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack – not sure if I responded. Please continue with the below.

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Wednesday, February 14, 2018 1:44 PM
To: Nina Tona <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-
A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Nina,

I'm seeing a lot of these products as already active in dbCAR (other than convertible bonds) under BR 1007494283 . See below and let me know if you need anything else in addition.

{cid:image003.png@01D3A599.626371A0}

{cid:image004.png@01D3A599.626371A0}

Thanks

Zack

From: Nina Tona
Sent: Wednesday, February 14, 2018 10:19 AM
To: Zack Bunimovich <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>; [REDACTED]; Davide-
A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack,

Please advise on the below.

Thank you

Nina Tona

From: Nina Tona
Sent: Tuesday, February 13, 2018 8:07 AM
To: Zack Bunimovich <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack,

Thanks for your help.

{cid:image002.png@01D35EBE.3C7B7F40}

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Monday, February 12, 2018 6:09 PM
To: Nina Tona <[REDACTED]>
Cc: Rita Shteynberg <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Nina,

I will be case managing this request going forward, and will see that it is assigned with our Jax team asap. I see that some work has been done already

by Amber, but the fund triggered a full KYC review – I'll find out if we need any extra documentation/information.

Can you also forward me your original request for what products the client is looking to trade?

Thanks,

Zack

From: Nina Tona
Sent: Monday, February 12, 2018 7:42 AM
To: Amber Davis <[REDACTED]>; Kareen Johnson <[REDACTED]>; Yolanda Wood <[REDACTED]>; Rita Shteynberg <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Hello All,

Please advise on the below. The client wants to conduct business and we need to complete this NCA as soon as possible.

Thank you,
Nina Tona

From: Nina Tona <[REDACTED]>

Date: Friday, Feb 09, 2018, 10:17 AM

To: Amber Davis <[REDACTED]>, Kareen Johnson <[REDACTED]>, Yolanda <[REDACTED]>

Wood <[REDACTED]>

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Hello Kareen

Please advise who will take this on.

Thank you

Nina Tona

From: Amber Davis
Sent: Thursday, February 08, 2018 1:12 PM
To: Kareen Johnson <[REDACTED]>; COB GMLondon-Jax <[REDACTED]>; Yolanda Wood <[REDACTED]>
Cc: Nina Tona <[REDACTED]>
Subject: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good afternoon,

This will need to be reassigned due to I am now working strictly GSAM accounts, please have assigned to someone else.

This fund triggered an alert that this account is past review date, so we must complete a full KYC.

Thanks,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | C00 DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

From: Nina Tona

Sent: Thursday, February 08, 2018 12:37 PM

To: Amber Davis <[REDACTED]>

Cc: Kareen Johnson <[REDACTED]>; Nick Watkins

<[REDACTED]>; Alastair Mackinlay <[REDACTED]>

Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Hi Amber,

Please see below. Also, are you guys checking dbCAR because some of these items/info was there already.

If anything else is required, please let me know – thanks!

- Organization Chart
 - o Per attachment “Southern Financial Operating Agreement” (pages 1, 16)
 - § Southern Trust Company Inc. is the sole member of Southern Financial LLC
 - § Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc.

- UBOs (Owners) that own greater than 10%
 - o Jeffrey Epstein is the sole UBO (see “Organization Chart” above)

- The source of funds for the UBOs (owners) that are greater than 10%
 - o Jeffery 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, which merged into Southern Financial LLC. 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.

- List of Legal representatives
 - o Per attachment “Southern Financial Operating Agreement” (pages 16)
 - § Jeffrey Epstein, Darren K. Indyke, Richard Kahn

- Annual report

o See attachments "Southern Financial LLC Financials June 2017" and "Southern Trust Company Inc. Financials June 2017" for latest financial statements

Thank you

Nina Tona

From: Amber Davis
Sent: Wednesday, January 10, 2018 8:15 PM
To: Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>; Nick Watkins <[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good evening ,

I apologize to request additional documents, but While entering the information into the system for this fund, it triggered an alert that this account is past review date, so we must complete a full KYC. Could you please provide the following documents:

- Organization Chart
- UBOs (Owners) that own greater than 10%
- The source of funds for the UBOs (owners) that are greater than 10%
- List of Legal representatives

- Annual report

Thank you kindly,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

From: Nina Tona

Sent: Wednesday, January 10, 2018 12:58 PM

To: Amber Davis <[REDACTED]>

Cc: Kareen Johnson <[REDACTED]>; Nick Watkins

<[REDACTED]>; Alastair Mackinlay <[REDACTED]>

Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Hi Amber,

EFTA01406272

Please provide an update on the below.

Thank you

Nina Tona

From: Alastair Mackinlay
Sent: Wednesday, December 20, 2017 11:55 AM
To: Amber Davis <[REDACTED]>; Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Please see W9 attached

Thanks

Alastair Mackinlay
Key Client Partners - Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154
[REDACTED]

KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA

EFTA01406273

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From: Alastair Mackinlay
Sent: Wednesday, December 20, 2017 11:28 AM
To: Amber Davis <[REDACTED]>; Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Thanks Amber – I've contacted our sales person and will let you know

Alastair Mackinlay

Key Client Partners - Americas

Deutsche Bank Wealth Management

345 Park Avenue, 24th Floor

New York, NY 10154
[REDACTED]

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From: Amber Davis
Sent: Wednesday, December 20, 2017 11:09 AM
To: Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good morning,

For tax document, I need something like a W9 or a W8, for example.

Thank you,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | C00 DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

From: Nina Tona

Sent: Monday, December 18, 2017 8:57 AM

To: Amber Davis <[REDACTED]>

Cc: Kareen Johnson <[REDACTED]>; Alastair Mackinlay

<[REDACTED]>; Nick Watkins <[REDACTED]>

Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good Morning Amber,

Please advise on the below.

Thank you

Nina Tona

From: Nina Tona
Sent: Friday, December 15, 2017 5:34 PM
To: Amber Davis <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>; Alastair Mackinlay
<[REDACTED]>
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Amber and Kareen,

I have a few questions.

The client has a Brokerage Acct in WM and wants to use those instructions for SSI, are we able to do that? Also, kindly clarify what you mean by Tax Document. Do you have an example or explanation?

DBSI Account: Southern Financial LLC
DBSI Account #: N4G023804

Pershing LLC

DTC: 443

Euroclear: 98730

Incoming USD instructions:

Bank: Bank of New York
ABA: 021 0000 18

Beneficiary: Pershing LLC
Beneficiary #: 890-051238-5

FFC (ref):
DBSI Account: Southern Financial LLC
DBSI Account #: N4G023804

Thank you

Nina Tona

From: Amber Davis
Sent: Friday, December 15, 2017 2:20 PM
To: Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>
Subject: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good afternoon,

Could you please provide a tax document , the system was flagging that one was needed for this fund.

Thank you kindly,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]