

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

From: Nina Tona <[REDACTED]>
Date: Wed, 14 Feb 2018 10:19:02 -0500
To: Zack Bunimovich [REDACTED]
Cc: Rita Shteynberg [REDACTED]
[REDACTED]

Davide-A Sferrazza [REDACTED]

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

EFTA01406633

To: Amber Davis [REDACTED] Kareen Johnson
[REDACTED] COB GMLondon-J [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] COB GMLondon-J [REDACTED] Yolanda
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.

EFTA01406634

Thank you

Nina Tona

From: Amber Davis
Sent: Thursday, February 08, 2018 1:12 PM
To: Kareen Johnson [REDACTED] COB GMLondon-Jax [REDACTED]
[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 | COO 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 | C00 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,

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]

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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]

KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank.

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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 | COO 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: [REDACTED]

Beneficiary: Pershing LLC

Beneficiary #: [REDACTED]

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]

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