

MASTER PROFILE

Legal Name

Summary

RDC Check Status

Next Review Date

CDD Entity Type

Has RDC Screening been done?

Deferral Flag

Migration Date

Entity/Legal Name

KYCMode

Not Alerted

20190503

Private Entity

Yes

No

[REDACTED] GMT

Southern Financial, LLC

Full

Global Risk

Southern Financial, LLC HIGH

Master KYC Profile

MASTER-57622

SRC Nexus

No

Last Review Date

03/05/2018

Entity Details

Internal ID List

Is Restricted

Identifier

SOUTHFIN_LE

[REDACTED]

[REDACTED]

Tax Details

TaxID Type

EIN

Client Role List

Client Role

Underlying Principal

Principal

Page 1

Affirmation Status Name - Internal

Pending COB review -

Paragon (PARAGON)

DBForce Customer Number

(DBFORCE_CUSTOMER_NUMBER)

Name

OPENLINK

Paragon (PARAGON)

DBForce Customer Number

(DBFORCE_CUSTOMER_NUMBER)

Tax ID



Country / ISO

United States

Address Details

Street Address

Line 3

Street Address

Line 2

Street Address

Line 1

6100 Red Hook

Quarter B3

6100 Red Hook

Quarter B3

6100 Red Hook

Quarter B3

Alias

Alias Party Name

Southern Financial Llc

External ID List

Status

State

Street Address

Line 4

Postal Code Country

00802

00802

00802

Virgin Islands,

U.S.

Virgin Islands,

U.S.

Virgin Islands,

U.S.

City

St Thomas

St Thomas

St Thomas

AddressType

DOMICILE

REGISTERED

MAILING

Next

Renew

Date

Identifier

01/01/1970 29191984

Name

AVOX (AVOX)

Individual Details

PEP Next Review Date

Classifications

Classification NAICS Code
Classification NACE Code
Classification NAICS
Classification Bundesbank Sector
Classification NACE
Supranational Authority
Central Clearing Party
Classification SIC
CFTC Interim Compliant Identifier (CICI)
(CFTC_INTERIM_COMPLIANT_IDENTIFIER_CICI)
Name - External
AVOX (AVOX)
Legal Entity Identifier (LEI)
CFTC Interim Compliant Identifier (CICI)
(CFTC_INTERIM_COMPLIANT_IDENTIFIER_CICI)
01/01/1970
522298

██████████
All Other Nondepository Credit Intermediation
Financial auxiliaries
Activities auxiliary to financial intermediation n.e.c.
N
N
Miscellaneous Business Credit Institutions
Page 2

Tri party Agent
N
Classification SIC Code
Classification Bundesbank Sector Code
Business Relationship
Status
Inactive
Inactive
Active
Inactive
Adoption
Location
United Kingdom
United States
United Kingdom
United States
Related Parties
Folder ID
MASTER-57623
MASTER-57623
Entity Information
Eligible
For
Deferral
Yes
No
Deferral
Flag
No
Deferral
Expiration
Date
Migration
Date
Deferral
Activation
Date
Last
Review
Date
Next
Review
Date
KYC
Status
01/01/197003/09/201801/01/19702018051720190517Completed
01/01/197001/01/197001/01/19702018051720190517Completed
01/01/197001/01/197001/01/19702015011620160116Completed
Conditional
Approval
Status

Adoption
Location
DE
GB
US
Calculation
Reason
Global
Standard
Risk
Rating
Eligible
for
Deferral
expiration
Date
Conditional
Approval
Expiry Date
BR Name
Southern Financial,
LLC_Markets_NSP
Southern Financial,
LLC_Markets_NSP
Southern Financial
LLC_Markets_NSP
Southern Financial, Llc AC
ORDER_Markets_NSP
Business Unit
Name
Markets
Markets
Markets
Markets
Adoption Entity View BR
DB AG (London) 1007494283
DBSI
1007494283
DB AG (London) 1010240825
DBSI
1014449003
Participant Role Adoption Date
Principal
Principal
Agent
Principal
26/07/2017
20/01/2015
15/07/2016
08/12/2017
6159

S126

Entity ID

Entity Type

1007493407

1007493407

Ultimate Beneficiary Owners

Legal Representative

Entity Name

Jeffrey Edward Epstein

Jeffrey Edward Epstein

AFC

Escalation

High 03/09/201901/01/1970

HIGH 01/01/197001/01/1970 true

High 01/01/197001/01/1970 true

Page 3

Global CDD

Entity Capacity

Client Role

Contracting Party

Business Relationships:

Is the entity that is being onboarded, contractually engaged by DB to develop investment business relationships or to introduce / procure business transactions e.g. a business finder / arranger / introducer / consultant / intermediary etc?

Entity Ownership

Provide document for evidence of the entity's Ownership Structure

Provide document for evidence of the entity's UBO relationships

Risk Factors

Have you come across any other reason for escalation to AFC Compliance?

KYC Review

Are you going to complete a full CDD/KYC Review for this Entity?

CDD KYC Type

Select the applicable Client KYC Type:

Organization Formation

Provide document for evidence of the entity's Legal Name

Provide document for evidence of the entity's formation and Legal Form

Country Risk associated with the Registered address of the entity:

Country Of Registration

Virgin Islands, U.S.

Provide document for evidence of the entity's Registered Address

Country Risk associated with the Domicile Address of the entity:

Country Level

2

ORBIS.pdf

ORBIS.pdf

Private Entity

Yes

No

Multiple

Southern Financial Operating Agreement.pdf

Principal

No

Country Level

2

ORBIS.pdf

Country Of Operation

Virgin Islands, U.S.

During the course of due diligence was any nexus to a Special Risk Country found?

Source Of Wealth

Have you identified the source of wealth for all UBOs who hold greater than or equal to 25% (in case of CDD) or 10% (in case of EDD) in the Ownership?

Yes

Page 4

No

Please provide
additional
explanation:

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.

Due Diligence Level

Specify the level of due diligence being performed

EDD Summary

Is EDD Applicable?

Have Source of Funds been verified?

What verification has been performed on the Source of Funds explanation received

Enhanced Due Diligence

Yes

Yes

The annual report provides the evidence for SOF for Southern Financial LLC

What evidence has been obtained which supports the Source of Funds activity?

The annual report provides the evidence for SOF for Southern Financial LLC

Does the evidence obtained satisfy reliability and independence criteria?-(Source of Funds)

Yes

Have Source of Wealth been verified?

What verification has been performed on the

Source of Wealth

explanation received?

Yes

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.

What evidence has been obtained which supports the Source of Wealth Business Activity?

Does the evidence obtained satisfy reliability and independence criteria?

Confirm all UBO(s) with an ownership of 10% or more (directly or indirectly) been identified & verified and the requirements obtained?

Internet Searches / NLS

Did the internet searches /NLS uncover any adverse media?

Please provide detail

Has the use of a External vendors been used as directed by the Business?

Please provide a detailed explanation

Has the EDD Memo been completed and appended to the KYC file?

Bearer Shares

Are you aware of the presence of Bearer Shares?

Nature of Business

Page 5

No

SCR confirmation

Yes

Yes

Yes

Yes

RDC Alert on the sole owner of Southern Financial.

No

N/A.

Yes

Nace Code

[REDACTED]

Nace Description

Is DB facing a shell bank?

Is this client involved in any of the following Industries:

Activities auxiliary to financial intermediation n.e.c.

No

No

Is the entity a Private Investment Vehicle i.e. a private investment company, foundation or trust set up for/on behalf of a high net worth individual(s)/family? No

During the course of due diligence has any nexus to the Credit Directives policy been discovered?

No

Ownership

Ownership

Ownership Structure

ActualOwnershipPercentage

Legal

Name

100.00

Beneficial Individuals

PEPStatusDescActualOwnershipPercentage

Is

UBO

First

Name

if true,

page is

not

involved

in

database

operations

100.00

Yes Jeffreytrue

DOMICILEIndividual

Individual is

neither a

PEP nor

related/close

associate of

a PEP

Screening Results

Edward

[REDACTED]

United

States

falseActive Epstein

Jeffrey

Edward

Epstein
UBO
Selected
?
ParentOf
Address
Type
17081
Southern
Financial,
LLC
if true,
page is
not
involved
in
database
operations
DOMICILEtrue
1



United
States
false
Indiv
CountryLevel
Is
PEP
First
Name
Party ID
PCRHitDetect
Country
Of Birth
PartyTmpFlagEntityLevel
Address
Type
EntityTypeIs PEP
First
Name
BusinessConclusionEntity ID
Date of
Birth
Is
PEP_Old
Nationality
Tmp
Flag
Status
Last
Name

RDC
Check
Status
Alerted,
NonAFC
Local
Legal
Name
Jeffrey
Edward
Epstein
Related
Parties
Related Parties
Related Parties
Nature of
Lexis/Nexis
Local
Legal
Name
Jeffrey
Edward
Epstein
RDC
Screened
Address
Type
Yes
Country
Level
PEP Status Nationality
DOMICILE1
Individual is
neither a
PEP nor
related/close
associate of
a PEP
Classifications
Wholesale Test
Is this entity eligible for the Australian Wholesale Test?
PCR
PCR
Has a PCR hit been detected?
Document ID that evidences the PCR check result:
Do you want to perform PCR for additional parties?
Additional Due Diligence
Has any additional due diligence been performed?
PEP
Does the Legal Representatives have a PEP status?
Does the UBO have a PEP status?

Negative Information

Page 7

No

No

No

No Hit

LINK-ATTACHMENT DB-FW-CAR-ONB-WORK GKYC-65841!20141204T210725.071 GMT

No

No

Lexis/Nexis

Status

Relationship

to CP

US

Legal

Representative

CRDS ID

Designation

/ Position

Registered

Country

1007493407Director

US

EntityKYCMode

Biz PCR

Comments

Nature of

Lexis/Nexis

Validator

Action

RDC

Screened

if true,

page is

not

PCRStatusDesc

involved

in

database

operations

Yes

true

DOMICILEIndividual

Edward

Address

Type

EntityType

Biz PCR

Response

First

Name

Lexis/Nexis
Status
Nature
of
PCR
Hit
Norkom
Result
Validator
Response
Entity ID
PCR
Hit
Tmp
Flag
1007493407
false
Indiv

To your knowledge, are you aware of any material negative information (from PCR or any other source) about the entity, and/or its UBO's and Legal Representatives, which could pose a reputational risk to DB?

Screening Results

Screening Results

Document that evidences the NLS check result:

Is there a Hit(s) from Name List Screening?

IsNextandLastReviewDatesRecalculated

To your knowledge, are you aware of any material negative information (from NLS or any other source) about the entity, and/or its UBO's and Legal Representatives, which could pose a reputational risk to DB?

Has any additional due diligence been performed?

Screening Confirmations

Screening Confirmations

IsNextandLastReviewDatesRecalculated

No

LINK-ATTACHMENT DB-FW-CAR-ONB-WORK GKYC-65841!20141204T210725.071 GMT

No Hit

No

No

No

No

Page 8

Global Risk Assessment
Risk Assessment
Global CRRE Risk Score
13
Global CRRE Risk Level
HIGH
Special Risk Factors - Item
New Response
UBO PEP
LR PEP
Adverse Media
Bearer Shares
Complex Structure
Link to Special Risk Country (CRRE)
Nexus to Special Risk Country (Global Due Diligence)
Link to Special Risk Industry (CRRE)
Link to Special Risk Entity
Intermediaries
Any other reason for escalation to AFC?
Downstream Correspondent Banking Activity
No
No
No
No
No
No
N/A
No
No
No
No
N/A
Yes
Previous Response
Pillar Summary - Item
COUNTRY
ENTITY
INDUSTRY
PRODUCT
Override Risk Rating
Override Risk Rating ?
Override KYC Next Review Date
Overriding KYC Next Review Date is to be used in exceptional circumstances only. It should not be used as a substitute for answering the KYC questions correctly to derive the appropriate KYC Next Review Date.
No
Global Risk
MEDIUM
MEDIUM
HIGH

HIGH
Global Score
3
2
5
3
No
Page 9

UK Risk Assessment
Risk Assessment
Global CRRE Risk Score
13
Global CRRE Risk Level
HIGH
RACS Risk Rating
Local Final Risk
HIGH
Global Final Risk
HIGH
Special Risk Factors - Item
New Response
UBO PEP
LR PEP
Adverse Media
Bearer Shares
Complex Structure
Link to Special Risk Country (CRRE)
Nexus to Special Risk Country (Global Due
Diligence)
Link to Special Risk Industry (CRRE)
Link to Special Risk Entity
Intermediaries
Any other reason for escalation to AFC?
Downstream Correspondent Banking Activity
No
No
No
No
No
No
No
N/A
No
No
No
No
No
N/A
Yes
Yes
Previous Response
Pillar Summary - Item
COUNTRY
ENTITY
INDUSTRY
PRODUCT
Override Risk Rating
Override Risk Rating ?
Override KYC Next Review Date
Page 10

Local Score

3

2

5

3

Local Risk

MEDIUM

MEDIUM

HIGH

HIGH

Global Risk

MEDIUM

MEDIUM

HIGH

HIGH

Global Score

3

2

5

3

No

Overriding KYC Next Review Date is to be used in exceptional circumstances only. It should not be used as a substitute for answering the KYC questions correctly to derive the appropriate KYC Next Review Date.

No

Page 11

US Risk Assessment

Risk Assessment

Is the entity registered or domiciled in a Level 1,2,3,4 Country:

Is the entity involved in a high risk industry?

Is a UBO of the entity a national of a Level 4 country and/or domiciled in a Level 4 country?

If a natural person facing DB as a direct client - are they a PEP (determined from PCR or any other source)?

Is a UBO of the entity a PEP?

Is a legal representative (control person) of the entity a PEP (determined from PCR or any other source)?

Is 10% or greater of the ownership held in bearer form? (not applicable if the bearer shares are traded on a CB&S and GTB Recognised Exchange)

To your knowledge, are you aware of any material negative information (from PCR or any other source) about the entity, and/or its UBO's and Legal Representatives, which could pose a reputational risk to DB?

If DB are facing a Collective Investment Scheme (Both open-ended and closed end funds) - does a natural person own greater than 25% of the investment (directly or indirectly) in the CIS?

Is the entity a Private Investment Vehicle i.e. a private investment company, foundation or trust set up for/on behalf of a high net worth individual(s)/family?

Is the entity that is being onboarded, contractually engaged by DB to develop investment business relationships or to introduce / procure business transactions e.g. a business finder / arranger / introducer / consultant / intermediary etc?

Have you come across any other reason for escalation to AML Compliance?

Is an account being opened for a foreign financial institution* ("FFI") registered and/or domiciled in either a Level 3 or 4 Country ? * Foreign financial

institutions as defined within Section 312 of the USA PATRIOT Act are Non-U.S banks, broker dealers, futures commission merchants, Introducing brokers in commodities, mutual funds, money transmitters or currency exchangers and private banking accounts.

Total Risk:

Override Risk Rating

Override Risk Rating ?Overriding Risk Rating is to be in exceptional circumstances only. It should not be as a substitute for answering the KYC questions

correctly to derive the appropriate Risk Rating.

Override KYC Next Review Date

Override KYC Next Review Date ?Overriding KYC Next Review Date is to be used in exceptional circumstances only. It should not be used as a substitute for answering the KYC questions correctly to derive the appropriate KYC Next Review Date.

No

No

2

No

No

N/A

No
No
No
No
N/A
Yes
No
No
No
High
Page 12

UK CDD

Escalation

Have you come across any other reason for escalation to AFC Compliance?

KYC Review

Are you going to complete a full CDD/KYC Review for this Entity?

Yes

No

Page 13

USA CDD

US Primary Business Function

Please select the US Primary Business Function

Qualified Institutional Buyer

Is the client a Qualified Institutional Buyer ?

UBO Requirements

Is the pension fund ERISA qualified ?If it is ERISA qualified then there are no UBO requirements

Is the entity a foreign bank or a level III FFI ?

USA Patriot Act Requirements

Is the client a non-US bank ?

Has the Disclosure Document be sent to client

Date Sent

Addressee

Has the Disclosure Document be sent to client.**This is only applicable to foreign banks

RDC

Has RDC screening been done ?

RDC Check Status

Do you want to perform RDC for additional parties ?

Related Party RDC:

RDC Check Status

Alerted, Non-AFC

RDCAlertList

RDCEventCategoriesRDCCheckStatus

AST,CON,PRJ,FRD,

IMP,IPR,OBS,ORG,

SEX,TAX,TFT

Alert

ID

if true,

page is

not

EventCategoryRDCLegalNameSubCategory

involved

in

database

operations

Alerted, Non-AFC 33455

Jeffrey Edward

Epstein

true

N

DB27000P

ACC,APL,CHG,CVT,IND,

PLE,PRB,SJT,SET,TRL

Page 14

PortfolioFlagFirmNo RDCSubEventCategories

Yes

Not Alerted

Yes

No
No
No
Private investment vehicle
No
Yes
20141126
Physical CIP Mail sent
No
Legal Name
Relationship to CP
Jeffrey Edward Epstein
Ultimate Beneficial Owner

FINRA

Is the client FINRA 2111 suitable? FINRA 2111 is not applicable for all products, please refer to Key Operating Procedures

Market Participant Identifier

Is the client a broker/dealer

Escalation

Have you come across any other reason for escalation to AML Compliance?

Enhanced Due Diligence

Is Enhanced Due Diligence required ?

What type of account is the client opening with CIB?

Who is their Registered Supervisor?

What is the

client's

source of

funds?

Yes

Equities - Custody/Margin

Courteney Fornal

100% money of Jeff Epstein from his work in the financial industry. Source of funds for Southern Financial LLC is that of Jeffrey Epstein.

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

What is the client's line of business?

What is their expected activity?

Foreign Financial Institution

Is an account being opened for a foreign financial institution* ("FFI") registered and/or domiciled in either a Level 3 or 4 Country ? * Foreign financial

institutions as defined within Section 312 of the USA PATRIOT Act are Non-U.S banks, broker dealers, futures commission merchants, Introducing brokers in commodities, mutual funds, money transmitters or currency exchangers and private banking accounts.

AFC Escalation Form For United Kingdom

General Information

Entity Legal Name:

KYC Type

Nace Code

Nace Description

Global risk rating

Local risk rating

Entity Role

Page 15

No

Private Investor

Flow trading

No

N/A

No

Southern Financial, LLC

Private Entity

██████████

Activities auxiliary to financial intermediation n.e.c.

HIGH

HIGH

Contracting Party

Due Diligence

Why is AFC Assignment required? (Tick as many as required)

Conditional

Approval

false

SRC Nexus:

Name List Screening

Screening system

Google

false

Volcker

Super 23A

Restricted

list

false

Please provide details

Adoption Information

Initiator

Location of Initiator

Request Type

Business Sponsors & Approvers

Business

Approver

Joe Aglione

Joe Aglione

Joe Aglione

Adoption Entity Product

DB AG (London)

Business Sponsor BA Location

OTC Derivatives

(Rates)

Matthew OConnor DB AG (London) Commodities

DB AG (London) FX Options

DB AG (London) FX Cash

Martin Zeman

Joe Aglione

Xavier Avila

Xavier Avila

AFC

AFC Comments

View of the Business

Business Recommendation

Page 16

System Approval NOT Product Extension

John Kennedy

Jatin Bindal

John Kennedy

John Kennedy

DB AG (London) Convertible Bonds Martin Zeman

DB AG (London) Fixed Income

DB AG (London) GED

DB AG (London)
Global Credit
Derivatives
Martin Zeman
Martin Zeman
USA
USA
USA
USA
Christopher Hatch USA
USA
USA
Business Unit
Markets
Markets
Markets
Markets
Markets
Markets
Markets
Markets
Markets
USA
USA
USA
BS Location
Adoption
Location
United Kingdom
AFC
Lexis
Nexis
false
Sanction
lists
false
CDD
Gateway
false
PCR
Norkom
false
negative
list of
rejected

clients
false
FircoSoft RDC Yahoo
true
false
false
Internal
Lists
false
Target
lists
false
Embargo
lists
false
Other
false
Searches ran with FircoSoft
Country
Risk
false
Source
Of
Funds
false
Other ML
Factors
have been
identified
false
Material
Negative
Information
false
Change
in risk
rating
false
Sanctions &
Embargoes
false
PEP
Nexus
false
Bearer
Shares
false
Consultation SourceOfWealthAFC
false
false
Industry

Risk
false
Product
Risk
false
No
Yes
Jesse-J Cruz
USA
Product Extension (PE)
Continue the relationship

A
A
A
A
A
A
A
A
A
Document
Type
Financial
Statement
Account
Opening
Checklist
Operating
Agreement
Operating
Agreement
W-9 (December
2014)
IRS LDD
Checklist
Operating
Agreement
cRDS ID Status
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
KYC Summary 1007406812Verified
Operating
Agreement
W-9 (December
2014)
W-9 (December
2014)
CRS LDD
Checklist
CRS LDD
Checklist
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
Account

X
Reference
NA
Document
Classification
Classification
Documents
Onboarding
Documents
Onboarding
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Onboarding
Documents
Classification
Documents
Classification
Documents
Onboarding
Documents
Onboarding
Documents
Onboarding
Documents
Classification
Documents
Classification
Documents
Classification
Documents
Classification
Documents
Uploaded By
File Name

[REDACTED]

Southern Trust Company Inc. Financials June 2017.pdf
soumya.devadiga@db.comONB-1135648 Check list.xlsx

[REDACTED]

Southern Financial Operating Agreement.pdf
[REDACTED] Southern Financial NAO Docs ALL.pdf

[REDACTED]

[REDACTED]

TAX W9_PADD_Southern Financial,
LLC_UP_1007406812_20171120.pdf
LDD Checklist.pdf

[REDACTED]

Southern Financial Operating Agreement.pdf
SOFL_LLC_Documents.pdf
Southern Financial Operating Agreement.pdf
W9 signed 2017 11 20.pdf

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Tax W9 signed 1007406812 2017 11 20.pdf
CRS Validation Check List.pdf
CRS Validation Check List.pdf
Page 17

Southern
Financial,
LLC

A
A
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A
A

ISDA Uncleared
Margin SelfDisclosure
Letter
Account
Opening
Checklist
PCR
check
Evidence
PCR check
Evidence
PCR check
Evidence
Lexis/Nexis
Results
Correspondence
with Client
Correspondence
with Client
Volcker Super
23A Screening
Result
PCR check
Evidence
Aminet
Screenshot
Commercial /
Business
Registry Extract
Correspondence

with Client
PCR check
Evidence
Financial
Statement
Aminet
Screenshot
Volcker Super
23A Screening
Result
Financial
Statement
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
1007406812Verified
Classification
Documents
1007406812Proposed
1007406812Verified
Onboarding
Documents
KYC
Documents
KYC

Documents
KYC
Documents
KYC
Documents
KYC
Documents
KYC
Documents
KYC
Documents
KYC
Documents
KYC
Documents
KYC
Documents

[REDACTED]

UM Dummy Doc.pdf

[REDACTED]

Checklist 1.xlsx

[REDACTED]

NLS - LR's.pdf

NLS - Alert - Darren K. Indyke.pdf

NLS - IBO.pdf

Lexis Nexis.pdf

SCR Confirm on NOB.pdf

W9 signed 2017 11 20.pdf

VOLCKER UPDATED 12-14-2017.pdf

PCR.pdf

AMINET.pdf

ORBIS.pdf

[REDACTED]

SCR_Confirm_on_all_docs_and_info.pdf

NLS.pdf

Southern_Financial_LLC_Financials_June_2017.pdf

Aminet.pdf

volcker_non_us.pdf

Southern_Trust_Company_Inc._Financials_June_2017.pdf

A
A
A
A
A
Correspondence
with Business
Volcker Super
23A Screening
Result
Operating
Agreement
PCR check
Evidence
1007406812Verified
KYC
Documents
1007406812Verified
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[REDACTED] AC0.pdf
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[REDACTED] Southern Financial Operating Agreement.pdf
[REDACTED] NLS_-_Jeffrey_Epstein.pdf
[REDACTED] RDC.pdf
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SCR Confirm on all docs and info.pdf

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Requestor Name : Patrick Bradley

Date

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