

Sheet1

Account name RMS GDP (Internet) Pershing / G + Account Status Account Type Account #
Account Owner Is the Client Expected to Trade uncleared OTC derivatives in the coming months? (Yes/No)

In Scope Products - OTC Derivatives (non-cleared swaps) e.g., interest rate swaps, credit swaps, equity swaps, NDFs, FX Options, FX Forwards (added by the business) Can the account be closed (e.g., It is not anticipated that the client will trade uncleared OTC derivatives or other products) (Yes/No)

Southern Financial LLC	SOFL	[REDACTED]	[REDACTED]	No	Acct #	KCP	N4G023804
Stewart Oldfield							
Southern Trust Company INC	SOTC	[REDACTED]	[REDACTED]	No	Acct #	KCP	N4G0
23812	Stewart Oldfield						

Yes
No

