Subject: RE: Inquiry Regarding Account ████████, Client: SOUTHERN TRUST
COMPANY, INC.; Case No. 144434 - DUE October 30 [I]
From: Stewart Oldfield <████████████████████>
Date: Mon, 23 Oct 2017 10:37:15 -0400
To: Amlcompliance Inquiries <████████████████████████████>
Cc: Cynthia Rodriguez <█████████████████████>,
    Andrew Gallivan <████████████████████>
Bcc: ██████████████████████,
     ██████████████████████

Purpose of the wire is advisory fees

Alpha Group Capital is an RIA that is now providing advisory and trading
services to Southern Trust and Southern Financial

You should expect to see wires consistently between the two parties.

Please call with any questions.

Thanks

From: Danya Friedman On Behalf Of Amlcompliance Inquiries
Sent: Monday, October 23, 2017 10:17 AM
To: Stewart Oldfield <████████████████████>
Cc: Amlcompliance Inquiries <████████████████████████████>; Cynthia
Rodriguez <███████████████████████>; Andrew Gallivan
<████████████████████>
Subject: Inquiry Regarding Account ██████████, Client: SOUTHERN TRUST COMPANY,
INC.; Case No. 144434 - DUE October 30 [I]
Importance: High

Classification: For internal use only

Good Morning:

The above referenced account has had the following activity. To assist in this review and further document your supervision of this account, please provide information regarding the following transactions. Your complete response must be received within 5 business days.

Outgoing Wire

09/19/2017, $78,938.00, ALPHA GROUP CAPITAL LLC at BANK OF AMERICA , N.A., NY

1. Please explain the purpose of this Outgoing Wire.

2. Please explain the relationship between the Client and Counterparty.

3. Please explain the business activities of the Counterparty.

Please provide any additional pertinent information.

Thank you in advance for your prompt attention to this matter.

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance
Deutsche Bank
60 Wall St., 23 Floor
New York, NY 10005 - 2836
███████████████████████

PLEASE NOTE: YOU ARE BEING CONTACTED BECAUSE YOU ARE LISTED AS THE PRIMARY OFFICER FOR THIS ACCOUNT ON GCIS. IF YOU ARE NOT THE CURRENT PRIMARY OFFICER, PLEASE LET ME KNOW IMMEDIATELY, SO THAT I MAY FORWARD THIS EMAIL TO THE APPROPRIATE PARTY.

Do not forward this e-mail or any attachment directly to the client.