

Subject: Re: Brokerage Docs [I]  
From: Amanda Kirby <[REDACTED]>  
Date: Mon, 22 Jul 2013 10:23:56 -0400  
To: Jay Lipman <[REDACTED]>  
Cc: Paul Morris <[REDACTED]>,  
Tazia Smith <[REDACTED]>,  
Vahe Stepanian <[REDACTED]>

Classification: For internal use only

Thank you, Jay

From: Jay Lipman/[REDACTED]  
To: Amanda Kirby/[REDACTED],  
Cc: Paul Morris/[REDACTED], Tazia Smith/[REDACTED], Vahe Stepanian/[REDACTED]  
Date: 07/19/2013 05:12 PM  
Subject: Re: Brokerage Docs [I]

Classification: For internal use only

Hi Amanda,

Primarily, here are the docs for the LLC.  
[attachment "09-PWM-0168\_LLC-051811-Portal.pdf" deleted by Amanda Kirby/[REDACTED]] [attachment "13-AWM-0196\_Retail\_Account\_Agreement\_PORTAL\_032813.pdf" deleted by Amanda Kirby/[REDACTED]] [attachment "13-AWM-0128\_CIP\_Notice\_021313.pdf" deleted by Amanda Kirby/[REDACTED]]

Here are the docs for the Inc.  
[attachment "13-AWM-0196\_Retail\_Account\_Agreement\_PORTAL\_032813.pdf" deleted by Amanda Kirby/[REDACTED]] [attachment "09-PWM-0186-CORPACCT-022212-PORTAL.pdf" deleted by Amanda Kirby/[REDACTED]] [attachment "13-AWM-0128\_CIP\_Notice\_021313.pdf" deleted by Amanda Kirby/[REDACTED]]

Kind Regards,

Jay Lipman

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Jay Lipman  
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From: Amanda Kirby/[REDACTED]

To: Jay Lipman/[REDACTED],

Cc: Vahe Stepanian/[REDACTED], Paul Morris/[REDACTED], Tazia Smith

Date: 07/19/2013 11:27 AM

Subject: Brokerage Docs [I]

Classification: For internal use only

Hey Jay,

Could you prepare 2 sets of Brokerage docs for 2 different companies for me today? The 2 companies are Southern Financial, LLC and Southern Trust Company, Inc. I have also attached all the documents we have for the 2 separate entities. I believe we have everything you will need for the KYC. If not, please let me know.

[attachment "Authoirzation of inquiry capabilities.pdf" deleted by Jay Lipman/[REDACTED]] [attachment "Certificate of Good Standing - Southern Trust.pdf" deleted by Jay Lipman/[REDACTED]] [attachment "JEpstein ID and Social.pdf" deleted by Jay Lipman/[REDACTED]] [attachment "Shareholder info.pdf" deleted by Jay Lipman/[REDACTED]] [attachment "SouthernFin Cert of Existence-SouthernTry Cert of Good Standing.pdf" deleted by Jay Lipman/[REDACTED]] [attachment "W-9 ST and SF.pdf" deleted by Jay Lipman/[REDACTED]]

Thanks!  
Amanda