

Approved to move forward.

Regards,
Rick

Ricardo M. Walker | Vice President | Supervisory Manager
[REDACTED] nk

From: Philip, Heather A
Sent: Thursday, June 20, 2013 6:09 PM
To: Doyle, Valencia G; Finnegan, Timothy J; Walker, Ricardo M
Cc: Account Opening Connecticut
Subject: RE: new brokerage account in Southern Trust- Level 6 approval needed

Hi Valencia,
You will need senior registered options principal approval for this opening.

Tim/Rick – I am very familiar with this DM and it is more than qualified for options level 6. Please provide your approval for pursuing level 6 options.

DM: G. William Wilde (deceased 6/18/13), [REDACTED] sophisticated investor

LNW: \$50MM+
TNW: \$100MM+

Heather A. Philip | Vice President | Supervisory Manager | Private Bank | J.P. Morgan Securities LLC | 100 West Putnam Avenue,
[REDACTED]

From: Doyle, Valencia G
Sent: Thursday, June 20, 2013 10:20 AM
To: Philip, Heather A
Cc: Account Opening Connecticut
Subject: new brokerage account in Southern Trust- Level 6 approval needed

Good Morning Heather,

The below request was received to have Level 6 across the board on a new Asset Brokerage account for Southern Trust Company, Inc. Would you be able to approve this?

Thanks in advance.

From: Dubov, Anastasia X
Sent: Tuesday, June 18, 2013 4:54 PM
To: Account Opening CHBG
Cc: PB-Service1318; Barrett, Paul S; GIO Middle Office; Schaffer, Susannah
Subject: new brokerage account in Southern Trust

Team,