

Classification: For internal use only

Hi Amanda,

AML Compliance has reviewed the alert dated 5/29/2013 pertaining to our perspective client, Southern Financial LLC. According to the business, our perspective client, Southern Financial LLC was organized in 2013 in the US Virgin Islands. The RDC alerts all occurred prior to the incorporation of our client, and refer to companies located in North Carolina, South Carolina, Virginia, and Florida. Additionally, the companies in the alerts are all corporations whereas our perspective client is a limited liability company. Accordingly, AML Compliance CLEARS these alerts as false positives.

Best regards,  
Andrew J. Kisz



Andrew J. Kisz  
Associate | AML Compliance Officer

DB Services New Jersey, Inc.  
Asset & Wealth Management  
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA  
[REDACTED]

*Passion to Perform*

From: Amanda Kirby/db/dbcom  
To: PWMUS AMLKYC/db/dbcom@DBAmericas,  
Cc: Andrea Klingenberg/db/dbcom@DBAMERICAS  
Date: 08/12/2013 05:38 PM  
Subject: Fw: RDC Alert :--Southern Financial LLC [!]

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Hi,

I realized I never heard back for the below clearance approval. Please let me know as soon as possible as we are now moving ahead with this client and would like to open accounts ASAP.

Thank you,  
Amanda

— Forwarded by Amanda Kirby/db/dbcom on 08/12/2013 05:37 PM —

SDNY\_GM\_00065168

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DB-SDNY-0027993  
EFTA\_00175668

EFTA01255930

From: Amanda Kirby/db/dbcom  
To: PWMUS AMLKYC/db/dbcom@DBAmericas,  
Date: 06/12/2013 10:58 AM  
Subject: Fw: RDC Alert :--Southern Financial LLC [I]

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Hi,

Please approve clearance for these alerts. These alerts do not pertain to our client. Our client, Southern Financial LLC was incorporated in 2013 in the US Virgin Islands. These alerts all occurred before 2013 and in the Continental US

Kind regards,  
Amanda Kirby



**Amanda Kirby**  
Associate

Deutsche Asset & Wealth Management  
345 Park Avenue, 10154-0004 New York, NY, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.  
----- Forwarded by Amanda Kirby/db/dbcom on 06/12/2013 10:56 AM -----

From: PWM BIS-Research/db/dbcom@DBAPAC  
To: [REDACTED]  
Cc: PWMUS AMLKYC/db/dbcom@DBAmericas  
Date: 05/29/2013 12:33 PM  
Subject: RDC Alert :--Southern Financial LLC [I]

Classification: For internal use only

Hi Armanda

Attached is an alert for the party mentioned above. Please note that clearance from compliance is required prior to KYC approval.

Please follow the instructions below:  
Forward explanation of whether the alert pertains to your client directly to compliance.  
Receive confirmation from compliance that alert can be removed from the queue.  
Include copies of all responses along with your KYC.

**RDC Alert :-- Southern Financial LLC**

SDNY\_GM\_00065169

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DB-SDNY-0027994  
EFTA\_00175669

EFTA01255931



Southern Financial LLC\_RDC Alert9.pdf



Southern Financial LLC\_RDC Alert8.pdf



Southern Financial LLC\_RDC Alert7.pdf



Southern Financial LLC\_RDC Alert6.pdf



Southern Financial LLC\_RDC Alert5.pdf



Southern Financial LLC\_RDC Alert4.pdf



Southern Financial LLC\_RDC Alert3.pdf



Southern Financial LLC\_RDC Alert2.pdf



Southern Financial LLC\_RDC Alert1.pdf



Southern Financial LLC\_RDC Alert.pdf

SDNY\_GM\_00065170

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DB-SDNY-0027995  
EFTA\_00175670

EFTA01255932