

Subject: Fw: RDC Alert :--Southern Financial LLC [I]
From: Amanda Kirby <[REDACTED]>
Date: Wed, 12 Jun 2013 10:58:11 -0400
To: PWMUS AMLKYC [REDACTED]

Classification: For internal use only

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

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Amanda Kirby
Associate

Deutsche Asset & Wealth Management
[REDACTED] 10154-0004 New York, NY, USA
Tel. [REDACTED]
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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/[REDACTED]
To: [REDACTED],
Cc: PWMUS AMLKYC/db/[REDACTED]
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

(See attached file: Southern Financial LLC_RDC Alert9.pdf) (See attached file: Southern Financial LLC_RDC Alert8.pdf) (See attached file: Southern Financial LLC_RDC Alert7.pdf) (See attached file: Southern Financial LLC_RDC Alert6.pdf) (See attached file: Southern Financial LLC_RDC Alert5.pdf) (See attached file: Southern Financial LLC_RDC Alert4.pdf) (See attached file: Southern Financial LLC_RDC Alert3.pdf) (See attached file: Southern Financial LLC_RDC Alert2.pdf) (See attached file: Southern Financial LLC_RDC Alert1.pdf) (See attached file: Southern Financial LLC_RDC Alert.pdf)