

Subject: Re: ACATS for Southern Financial/Trust [I]  
From: Jay Lipman <[REDACTED]>  
Date: Mon, 09 Sep 2013 16:03:46 -0400  
To: Amanda Kirby <[REDACTED]>  
Cc: Tazia Smith <[REDACTED]>,  
Vahe Stepanian <[REDACTED]>

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Hi Amanda,

As we discussed earlier, the ACAT's will be more complicated than usual due to the exotic nature of some of the assets in the accounts.

As for Jeepers, please find attached below the necessary brokerage documents for a corporate account. Please find Completion Instructions:  
Account Agreement – Please complete highlighted areas on pgs. 1, 6, 7, 14, and 15  
Corp Acct. Authorization – Please complete highlighted area and sign/date bottom of pages 1 + 2

(See attached file: AWM Acct. Agreement.pdf)(See attached file: Corporate Account Authorization.pdf)(See attached file: New Corporate Info Sheet 6.2012.pdf)

Kind Regards,

Jay Lipman

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Jay Lipman  
Analyst I Markets Coverage Group

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From: Amanda Kirby/db/-  
dbcom

To: Jay Lipman/db/-  
[REDACTED],

Cc: Tazia Smith, Vahe Stepanian/db/-  
[REDACTED]

Date: 09/09/2013 10:59  
AM

Subject: ACATS for Southern Financial/Trust  
[I]

Classification: For internal use only

Hi Jay,

Wanted to touch base in regards to the ACATS for Southern Trust and Southern Financial. I know you were working on them on Friday. Would like to send them to the client today, if possible.

Also, Jeepers Inc was KYC approved on our end. I am going to work on getting those account docs prepared and send them over today. Would you mind sending me Brokerage accounts for them?

Thank you

Best,  
Amanda Kirby

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Amanda Kirby  
Associate

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