

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]
From: Nina Tona <nina.tona@db.com>
Date: Mon, 26 Feb 2018 18:46:45 -0500
To: Jitan Patel <jitan.patel@db.com>;
Rita Shteynberg <rita.shteynberg@db.com>;
Zack Bunimovich <zack.bunimovich@db.com>;
Lindsay Robinson <lindsay.robinson@db.com>
Cc: cob-cst.ny@list.db.com,
Davide-A Sferrazza <davide.sferrazza@db.com>

Classification: For internal use only

Thanks, Jitan.

I will reach out to them directly then.

Thank you

Nina Tona

From: Jitan Patel
Sent: Monday, February 26, 2018 6:43 PM
To: Nina Tona <nina.tona@db.com>; Rita Shteynberg <rita.shteynberg@db.com>;
Zack Bunimovich <zack.bunimovich@db.com>; Lindsay Robinson <lindsay.robinson@db.com>
<lindsay.robinson@db.com>
Cc: cob-cst.ny@list.db.com; Davide-A Sferrazza <davide.sferrazza@db.com>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Hi Nina,

The clearing house is run by project mercury – the leads are Megha Arora and

James Rochford. If you feel you are not represented on this, they can tell you who has been signing off for WM. I'm surprised you are not on the offboarding notifications from Megha as I noticed that you signed off on letters from DBSI and DBNY over the last two months. The red list is the driver for these letters and is run by each respective business and the clearing house is the final opportunity to remove a name from the exit process.

The red list for GM is shown through trade finder. It applies only to GM but you can gain access from rishu.agarwal@db.com

Thanks

From: Nina Tona
Sent: Monday, February 26, 2018 6:29 PM
To: [REDACTED] Rita Shteynberg
[REDACTED] Zack Bunimovich <[REDACTED]> Lindsay
Robinson [REDACTED]
Cc: cob-cs@ny.fis.com, David A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Jitan,

I have not been included on any emails from Megha Arora regarding a red list. The only emails that I have been included on for the past month that I thought were the "red list" are from the account set up team and neither one of the accounts in question have been on there. Is there another email thread that I am not included on? Yes, I would appreciate if you can connect me to the team that can tell me why they are on the red list and how we can remove from them from there. Also, can I see the full red list to make sure there aren't other clients that shouldn't be on there.

Thank you

Nina Tona

From: Jitan Patel
Sent: Monday, February 26, 2018 6:24 PM
To: Nina Tona [REDACTED]; Rita Shteynberg [REDACTED];
Zack Bunimovich <[REDACTED]> Lindsay Robinson
<[REDACTED]>
Cc: cob-cst.ny@list.db.com; Davide-A Sferrazza <[REDACTED]>
Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Hi Nina,

Megha Arora includes you on the approval process before an account is exited (i.e. in the example of Tonell) as a result of it being on the red list. An account would not be exited without your knowledge as part of the clearing house. The red list has a number of drivers and I can link you into the ACO team who can give you the detail behind why the acct would have been added to the red list.

Thanks

From: Nina Tona
Sent: Monday, February 26, 2018 6:12 PM

To: Rita Shteynberg [REDACTED]; Zack Bunimovich [REDACTED];
[REDACTED]

URGENT [I]

Classification: For internal use only

Jitan

Please advise why Southern Financial is on the red list. This client was asked to be retained through Jane Varley and we are in the process of and NCA and product extension. This also happened to another client today, Tonell. I have not been part of the emails in regards to the red list. Please advise where we go from here as its very frustrating to find out while we are in the middle of an NCA and while we were trying to conduct trades.

Thank you

Nina Tona

From: Rita Shteynberg
Sent: Monday, February 26, 2018 5:48 PM

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Nina-

If a client has been red listed we cannot proceed with the NCA process.

Please speak with Jitan Patel about red listed clients and the process

around this.

Thank you

From: Nina Tona
Sent: Monday, February 26, 2018 4:46 PM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Yes, we don't understand why it was put on that list. We need to make sure the NCA is completed and extended for global credit derivatives.

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Monday, February 26, 2018 4:44 PM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]

Classification: For internal use only

Hi Nina,

If the client was put on the red list that means we can't trade with them?
Is this request still needed?

Thanks,

Zack

From: Nina Tona
Sent: Monday, February 26, 2018 4:14 PM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
****URGENT** [I]
Importance: High

Classification: For internal use only

Hello Zack,

Please advise on the below as I was told they were put on a "red List".

Thank you

Nina Tona

From: Nina Tona
Sent: Tuesday, February 20, 2018 4:12 PM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack – not sure if I responded. Please continue with the below.

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Wednesday, February 14, 2018 1:44 PM

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Nina,

I'm seeing a lot of these products as already active in dbCAR (other than convertible bonds) under BR 1007494283 . See below and let me know if you need anything else in addition.

{cid:image003.png@01D3A599.626371A0}

{cid:image004.png@01D3A599.626371A0}

Thanks

Zack

From: Nina Tona
Sent: Wednesday, February 14, 2018 10:19 AM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack,

Please advise on the below.

Thank you

Nina Tona

From: Nina Tona
Sent: Tuesday, February 13, 2018 8:07 AM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Zack,

Thanks for your help.

{cid:image002.png@01D35EBE.3C7B7F40}

Thank you

Nina Tona

From: Zack Bunimovich

Sent: Monday, February 12, 2018 6:09 PM

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hi Nina,

I will be case managing this request going forward, and will see that it is assigned with our Jax team asap. I see that some work has been done already by Amber, but the fund triggered a full KYC review – I'll find out if we need any extra documentation/information.

Can you also forward me your original request for what products the client is looking to trade?

Thanks,

Zack

From: Nina Tona

Sent: Monday, February 12, 2018, 7:42 AM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Hello All,

Please advise on the below. The client wants to conduct business and we need to complete this NCA as soon as possible.

Thank you,
Nina Tona

From: Nina Tona [REDACTED]

Date: Friday, Feb 09, 2018, 10:17 AM

[REDACTED]

Subject: RE: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155
[I]

Classification: For internal use only

Hello Kareen

Please advise who will take this on.

Thank you

Nina Tona

From: Amber Davis
Sent: Thursday, February 08, 2018 1:12 PM

Subject: ***REASSIGN NEEDED***FW: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good afternoon,

This will need to be reassigned due to I am now working strictly GSAM accounts, please have assigned to someone else.

This fund triggered an alert that this account is past review date, so we must complete a full KYC.

Thanks,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

From: Nina Tona
Sent: Thursday, February 08, 2018 12:37 PM

Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Hi Amber,

Please see below. Also, are you guys checking dbCAR because some of these items/info was there already.

If anything else is required, please let me know – thanks!

EFTA01408652

- Organization Chart
- o Per attachment "Southern Financial Operating Agreement" (pages 1, 16)
- § Southern Trust Company Inc. is the sole member of Southern Financial LLC
- § Jeffrey Epstein is the sole shareholder of Southern Trust Company Inc.

- UBOs (Owners) that own greater than 10%
- o Jeffrey Epstein is the sole UBO (see "Organization Chart" above)

- The source of funds for the UBOs (owners) that are greater than 10%

o Jeffery Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands, which merged into Southern Financial LLC. All of his clients were anonymous except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms.

- List of Legal representatives
- o Per attachment "Southern Financial Operating Agreement" (pages 16)
- § Jeffrey Epstein, Darren K. Indyke, Richard Kahn

- Annual report
- o See attachments "Southern Financial LLC Financials June 2017" and "Southern Trust Company Inc. Financials June 2017" for latest financial statements

Thank you

Nina Tona

From: Amber Davis

Sent: Wednesday, January 10, 2018 8:15 PM

[REDACTED]

Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [1]

Classification: For internal use only

Good evening ,

I apologize to request additional documents, but While entering the information into the system for this fund, it triggered an alert that this account is past review date, so we must complete a full KYC. Could you please provide the following documents:

- Organization Chart
- UBOs (Owners) that own greater than 10%
- The source of funds for the UBOs (owners) that are greater than 10%
- List of Legal representatives
- Annual report

Thank you kindly,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

From: Nina Tona

Sent: Wednesday, January 10, 2018 12:58 PM

[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Hi Amber,

Please provide an update on the below.

Thank you

EFTA01408655

Nina Tona

From: Alastair Mackinlay
Sent: Wednesday, December 20, 2017 11:55 AM

[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Please see W9 attached

Thanks

Alastair Mackinlay
Key Client Partners - Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154
[REDACTED]

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From: Alastair Mackinlay
Sent: Wednesday, December 20, 2017 11:28 AM

[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Thanks Amber – I've contacted our sales person and will let you know

Alastair Mackinlay
Key Client Partners - Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Floor
New York, NY 10154
[REDACTED]

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From: Amber Davis
Sent: Wednesday, December 20, 2017 11:09 AM



Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good morning,

For tax document, I need something like a W9 or a W8, for example.

Thank you,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

From: Nina Tona

Sent: Monday, December 18, 2017 8:57 AM

To: Amber Davis <amber.davis@db.com>

[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good Morning Amber,

Please advise on the below.

Thank you

Nina Tona

From: Nina Tona

EFTA01408659

Sent: Friday, December 15, 2017 5:34 PM

[REDACTED]

Subject: RE: SOUTHERN FINANCIAL LLC - UNB-1010155 [1]

Classification: For internal use only

Amber and Kareen,

I have a few questions.

The client has a Brokerage Acct in WM and wants to use those instructions for SSI, are we able to do that? Also, kindly clarify what you mean by Tax Document. Do you have an example or explanation?

DBSI Account: Southern Financial LLC
DBSI Account #: [REDACTED]

Pershing LLC

DTC: 443

Euroclear: 98730

Incoming USD instructions:

Bank: Bank of New York
ABA: 021 0000 18

Beneficiary: Pershing LLC
Beneficiary #: [REDACTED]

EFTA01408660

FFC (ref):

DBSI Account:

DBSI Account #:

Southern Financial LLC

Thank you

Nina Tona

From: Amber Davis

Sent: Friday, December 15, 2017 2:20 PM

[REDACTED]
Subject: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: For internal use only

Good afternoon,

Could you please provide a tax document , the system was flagging that one was needed for this fund.

Thank you kindly,

{cid:image001.gif@01D21B3F.826CE570}

Amber Davis

Client On-Boarding | Client Data Services | C00 DBUSA Core Corp.

Deutsche Bank Securities Inc.

5201 Gate Parkway

Jacksonville FL 32256

Email: [REDACTED]

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