

Subject: Inquiry Regarding Account 44129244, Client: SOUTHERN TRUST COMPANY, INC.; Case No. 144434 - DUE October 30 [I]  
From: Amlcompliance Inquiries [REDACTED] >  
Date: Mon, 23 Oct 2017 10:17:00 -0400  
To: Stewart Oldfield <[REDACTED]>  
Cc: Amlcompliance Inquiries [REDACTED] >, Cynthia Rodriguez [REDACTED] >, Andrew Gallivan <[REDACTED]>

Classification: For internal use only

Good Morning:

The above referenced account has had the following activity. To assist in this review and further document your supervision of this account, please provide information regarding the following transactions. Your complete response must be received within 5 business days.

Outgoing Wire

09/19/2017, \$78,938.00, ALPHA GROUP CAPITAL LLC at BANK OF AMERICA , N.A., NY

1. Please explain the purpose of this Outgoing Wire.
2. Please explain the relationship between the Client and Counterparty.
3. Please explain the business activities of the Counterparty.

Please provide any additional pertinent information.

Thank you in advance for your prompt attention to this matter.

Best Regards/Mit freundlichen Grüßen,

PWM AML Compliance  
Deutsche Bank  
60 Wall St., 23 Floor  
New York, NY 10005 - 2836

PLEASE NOTE: YOU ARE BEING CONTACTED BECAUSE YOU ARE LISTED AS THE PRIMARY OFFICER FOR THIS ACCOUNT ON GCIS. IF YOU ARE NOT THE CURRENT PRIMARY OFFICER, PLEASE LET ME KNOW IMMEDIATELY, SO THAT I MAY FORWARD THIS EMAIL TO THE APPROPRIATE PARTY.

Do not forward this e-mail or any attachment directly to the client.