

Sheet1

Account name	RMS	GDP (Internet)	Pershing / G +	Account Status	Account Type	Account #
Account Owner	Is the Client Expected to Trade uncleared OTC derivatives in the coming months? (Yes/No)					

In Scope Products - OTC Derivatives (non-cleared swaps) e.g., interest rate swaps, credit swaps, equity swaps, NDFs, FX Options, FX Forwards (added by the business) Can the account be closed (e.g., It is not anticipated that the client will trade uncleared OTC derivatives or other products) (Yes/No)

Southern Financial LLC	SOFL			No	Acct #	KCP	
Stewart Oldfield	No	Yes					
Southern Trust Company INC	SOTC			No	Acct #	KCP	N4G0
23812 Stewart Oldfield	No	Yes					

PLEASE NOTE: BOTH ACCOUNTS ARE ALREADY CLOSED.

Yes  
No



