

Subject: Re: ACATS for Southern Financial/Trust [I]  
From: Paul Morris <[REDACTED]>  
Date: Tue, 10 Sep 2013 05:40:48 -0400  
To: Tazia Smith <[REDACTED]>

Classification: For internal use only

Ok sounds good let's talk tuesday, thanks

----- Original Message -----

From: Tazia Smith

Sent: 09/09/2013 05:49 PM EDT

To: Paul Morris

Subject: Re: ACATS for Southern Financial/Trust [I]

Classification: For internal use only

We're on it Paul. You, Caroline and I need to review an accurate list of the positions that can/cannot/wouldn't come. Based on our conversation Friday, JE

knows not all will be coming over (proceeds from proprietary product and OTC options will move once matured). We just want to be sure that list of positions that cannot move, is accurate. Jay should have that for is in the morning (he has to check with Pershing, ACAT, etc...various groups); some positions will be a discussion for you, Caroline and I (eg. we agreed novating the FX options wasn't realistic).

Sit down in the morning and then go back to Jeff with this info as part of our note of thanks for Friday's meeting?

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Tazia Smith  
Director | Key Client Partners - US

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From: Paul Morris/db/-  
dbcom

To: Amanda Kirby/db/dbcom@DBAMERICAS, Jay Lipman/db/-  
dbcom@DBAMERICAS,

Cc: Tazia Smith/db/dbcom@DBAMERICAS, Vahe Stepanian/db/-  
dbcom@DBAmericas

Date: 09/09/2013 05:09  
PM

Subject: Re: ACATS for Southern Financial/Trust  
[I]

Classification: For internal use only

Thanks need to move this forward,

----- Original Message -----

From: Amanda Kirby

Sent: 09/09/2013 04:13 PM EDT

To: Jay Lipman

Cc: Tazia Smith; Vahe Stepanian; Paul Morris

Subject: Re: ACATS for Southern Financial/Trust [I]

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Thank you, Jay. I'll send the account docs to the client today and we can discuss the ACATs further when Paul is in the office tomorrow

EFTA01430847

Best,  
Amanda Kirby

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Amanda Kirby  
Associate

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345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004  
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From: Jay Lipman/db/-  
dbcom

To: Amanda Kirby/db/-  
dbcom@DBAMERICAS,

Cc: Tazia Smith/db/dbcom@DBAMERICAS, Vahe Stepanian/db/-  
dbcom@DBAMERICAS

Date: 09/09/2013 04:03  
PM

Subject: Re: ACATS for Southern Financial/Trust  
[I]

Classification: For internal use only

EFTA01430848

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

[attachment "AWM Acct. Agreement.pdf" deleted by Amanda Kirby/db/dbcom]  
[attachment "Corporate Account Authorization.pdf" deleted by Amanda Kirby/db/dbcom] [attachment "New Corporate Info Sheet 6.2012.pdf" deleted by Amanda Kirby/db/dbcom]

Kind Regards,

Jay Lipman

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Jay Lipman  
Analyst I Markets Coverage Group

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From: Amanda Kirby/db/-  
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To: Jay Lipman/db/-  
dbcom@DBAMERICAS,

Cc: Tazia Smith, Vahe Stepanian/db/-  
dbcom@DBAmericas

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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