

SOUTHERN FINANCIAL LLC

N4G024943

N4G023812

N4G025098

N4G025106

N4G025114

N4G023804

N4G025080

N4G026161

N4G024968

N4G024980

N4G024935

N4G025403



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**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

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EFTA\_00149431

EFTA01283124

N4G 024943    N4G 025106    N4G 025080    N4G 024950  
 N4G 023812    N4G 025114    N4G 026161    N4G 024935  
 N4G 025098    N4G 023804    N4G 024968    N4G 025403  
 Deutsche Bank  
 Private Wealth Management



**Institutional Suitability Certificate**  
**Affirmative Indication Of Exercise Of Independent Judgment**  
 (Pursuant To FINRA Rule 2111)<sup>1</sup>

In connection with any recommended<sup>2</sup> transaction or investment strategy by Deutsche Bank Securities Inc. (DBSI) or its Client Advisors, the undersigned acknowledges on behalf of the institution named below that:

- I. It is an Institutional Account as defined in FINRA Rule 4512(c)3; namely,
- a) A bank, savings and loan association, insurance company, or registered investment company
  - b) An investment adviser registered either with the Securities and Exchange Commission under Section 203 of The Investment Advisers Act of 1940 or with a state securities commission (or any agency or office performing like functions)
  - c) Any other entity (whether a natural person, corporation, partnership, trust, or otherwise) with total assets of at least \$50 million as of the date of this Certification (whether such assets are invested for such person's own account or under management for the account of others).

**IMPORTANT: You must select one of the above**

- II. It (1) is capable of evaluating investment risks independently, both in general and with regard to all transactions and investment strategies involving a security or securities; and (2) will exercise independent judgment in evaluating the recommendations of Deutsche Bank Securities Inc. or its associated persons, unless it has otherwise notified Deutsche Bank Securities Inc. in writing;
- III. It will notify the Deutsche Bank Securities Inc. Client Advisor servicing the Institutional Account if anything in this Certificate ceases to be true;
- IV. He or she is authorized to sign on behalf of the Institutional Account named below.

By signing this Certificate, the undersigned affirms that the above statements are accurate but does not waive any rights afforded under U.S. federal or state securities laws, including without limitation, any rights under Section 10(b) of the Securities Exchange Act of 1934, as amended, and the rules and regulations promulgated thereunder.

NOTE: This Certificate shall apply with respect to all recommended transactions and investment strategies involving securities that are entered into by the "Institutional Account" named in this Certificate, whether for the account of such Institutional Account or for the account of any beneficial owner that has delegated decision making authority to such Institutional Account.

<b>Southern Financial LLC</b>	<b>Jeffrey Epstein</b>
Institutional Account Name	Name of Authorized Signatory
<i>Manager</i>	Account Number
Title of Authorized Signatory	Date
Signature of Authorized Signatory	

<b>Southern Trust Company Inc.</b>	<b>Jeffrey Epstein</b>
Institutional Account Name	Name of Authorized Signatory
<i>President</i>	Account Number
Title of Authorized Signatory	Date
Signature of Authorized Signatory	

Client Advisor Signature \_\_\_\_\_ Date 10/24/13

Date 10/25/13

<sup>1</sup> Available at <http://www.finra.org/industry/regulation/FINRArules/>  
<sup>2</sup> As defined in FINRA Rules.

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