
From: Paolo De-Leon [REDACTED]
Sent: 2/27/2018 10:11:29 AM
To: Keith Buckholz [REDACTED]
Subject: RE: Southern Financial LLC [I]

Davide has confirmed to me that those docs were provided to him from the banking team. Once he submits a request for those docs it usually takes a few days to get them turned around. Thanks.

From: Keith Buckholz
Sent: Tuesday, February 27, 2018 9:37 AM
To: Paolo De-Leon <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Classification: **For internal use only**

You might want to find out where Davide located these docs. Just for our own knowledge.

I'll update the OTC Onboarding doc this afternoon (the DDR section).

From: Paolo De-Leon
Sent: Tuesday, February 27, 2018 9:32 AM
To: Keith Buckholz <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Yes, sounds good! Davide was pretty efficient with locating and retrieving the necessary docs, so this new process is looking quite promising so far.

From: Keith Buckholz
Sent: Tuesday, February 27, 2018 9:28 AM
To: Paolo De-Leon <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Classification: **For internal use only**

Perfect, now we can get this name cleared from the daily margin shortfall/call report. Thanks.

Keith

From: Paolo De-Leon
Sent: Tuesday, February 27, 2018 9:27 AM
To: Collateral Admin-NY <collateral.admin-ny@db.com>; Abhijit Mukherjee <[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>; CRM-PWM Derivatives <crm-pwm.derivatives@db.com>
Subject: Southern Financial LLC

Hello Abhijit and team,

Can you please add this client to the DDR? Attached are the SACA, Pledge Agreements, and other KYC / onboarding docs.

Please note that there are two accounts for this client: N4G025403 and N4G026161.