

Paolo

From: Paolo De-Leon
Sent: Thursday, January 11, 2018 10:13 AM
To: Teresa Metallo [REDACTED]
Cc: Diana Canter <[REDACTED]>; Keith Buckholz <[REDACTED]>
Subject: RE: New Derivatives account. [I]

Hello- please see below.

The screenshot shows a table with the following columns: Counterparty Legal Name, Counterparty ID, Counterparty Booking Center, Country Of Domicile, CPD, Counterparty Local ID, Paragon OrgID, Client Type, and Credit File. Two rows are visible, both for Southern Financial LLC. The first row has a booking center of AB and a client type of Other / Unknown. The second row has a booking center of US and a client type of Operating Compu. The table is on page 1 of 1.

Counterparty Legal Name	Counterparty ID	Counterparty Booking Center	Country Of Domicile	CPD	Counterparty Local ID	Paragon OrgID	Client Type	Credit File
Southern Financial LLC	[REDACTED]	AB			[REDACTED]		Other / Unknown	[REDACTED]
Southern Financial LLC	[REDACTED]	US			[REDACTED]	000000	Operating Compu	[REDACTED]

From: Teresa Metallo
Sent: Thursday, January 11, 2018 10:04 AM
To: Paolo De-Leon [REDACTED]
Cc: Diana Canter <[REDACTED]>; Keith Buckholz <[REDACTED]>
Subject: RE: New Derivatives account. [I]

Classification: **For internal use only**

Hi Paolo,

Can you provide the client's account number

Teresa Metallo
Vice President
WM OPS
Regulatory - Risk & Control
60 Wall Street
New York, NY 10005
[REDACTED]

From: Paolo De-Leon
Sent: Thursday, January 11, 2018 9:57 AM
To: Teresa Metallo <[REDACTED]>
Cc: Diana Canter <[REDACTED]>; Keith Buckholz <[REDACTED]>
Subject: RE: New Derivatives account. [I]

Hello Teresa,

Can you kindly provide the below documents for Southern Financial LLC?

KYC Document
PCR Document