

Liam

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From: Zack Bunimovich <[REDACTED]>
Date: Friday, Mar 30, 2018, 9:13 AM
To: Nina Tona <[REDACTED]>, Xavier Avila <[REDACTED]>, Martin Zeman <[REDACTED]>, Rita Shteynberg <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>, Mathew Negus <[REDACTED]>, Alastair Mackinlay <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Anthony Lentini <[REDACTED]>
Subject: RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]

Classification: **For internal use only**

Hi Nina,

Can you clarify the relationship between Richard Kahn at HBRK Associated and Southern Financial? To the KYC team this note from Richard can seem like a random associate from a different firm is confirming information for Southern.

Additionally the team will need confirmation that Richard is an authorized signatory, on the board for Southern, a C-suite executive, or within the Legal department?

Thanks,
Zack

From: Nina Tona
Sent: Thursday, March 29, 2018 11:23 AM
To: Zack Bunimovich <[REDACTED]>, Xavier Avila <[REDACTED]>; Martin Zeman <[REDACTED]>, Rita Shteynberg <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>, Mathew Negus <[REDACTED]>, Alastair Mackinlay <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Anthony Lentini <[REDACTED]>
Subject: RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]

Classification: **For internal use only**

Hi Zack,

Please see the attached confirmation from the client. Let us know what the next step is.

Thank you

Nina Tona

From: Zack Bunimovich
Sent: Tuesday, March 27, 2018 5:53 PM
To: Xavier Avila <[REDACTED]>, Martin Zeman <[REDACTED]>, Rita Shteynberg <[REDACTED]>, Jitan Patel <[REDACTED]>, Nina Tona <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>, Mathew Negus <[REDACTED]>, Alastair Mackinlay <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Anthony Lentini <[REDACTED]>