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 ██████████████; Xavier Avila <██████████████>; Martin Zeman
<██████████████>; Rita Shteynberg <██████████████>
Cc: Liam Osullivan <██████████████>; Mathew Negus <██████████████>; Alastair Mackinlay
<██████████████>; Davide-A Sferrazza <██████████████>; Anthony Lentini
<██████████████> –
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 ██████████████; Martin Zeman <martin.zeman@db.com>; Rita Shteynberg
██████████████; Jitan Patel <██████████████>; Nina Tona <██████████████>
Cc: Liam Osullivan ██████████████ Mathew Negus <██████████████>; Alastair Mackinlay
<██████████████>; Davide-A Sferrazza <██████████████>; Anthony Lentini
<██████████████>
Subject: RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]

Classification: **For internal use only**

Hi Xavier,

I believe Martin was reaching out to Southern to obtain one more confirmation regarding the KYC information that was provided. We spoke last week.

Thanks,
Zack

From: Xavier Avila
Sent: Tuesday, March 27, 2018 4:01 PM
To: Martin Zeman <██████████████>; Zack Bunimovich <██████████████>; Rita Shteynberg
<██████████████>; Jitan Patel <██████████████>; Nina Tona <██████████████>
Cc: Liam Osullivan ██████████████; Mathew Negus <██████████████; Alastair Mackinlay