From: Zack Bunimovich ◄ ██████████████████
Date: Friday, Mar 30, 2018, 9:13 AM
To: Nina Tona ◄ ████████████ 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]

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 ◄ ████████████ ►; 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]

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 ████████████ ►; 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]

Hi Xavier,