

Nina Tona

From: Amber Davis
Sent: Wednesday, January 10, 2018 8:15 PM
To: Nina Tona <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>; Nick Watkins <[REDACTED]>; Alastair Mackinlay
[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

Classification: **For internal use only**

Good evening ,

I apologize to request additional documents, but While entering the information into the system for this fund, it triggered an alert that this account is past review date, so we must complete a full KYC. Could you please provide the following documents:

- Organization Chart
- UBOs (Owners) that own greater than 10%
- The source of funds for the UBOs (owners) that are greater than 10%
- List of Legal representatives
- Annual report

Thank you kindly,



Amber Davis

Client On-Boarding | Client Data Services | COO DBUSA Core Corp.
Deutsche Bank Securities Inc.
5201 Gate Parkway
Jacksonville FL 32256
Email: [REDACTED]

From: Nina Tona
Sent: Wednesday, January 10, 2018 12:58 PM
To: Amber Davis <[REDACTED]>
Cc: Kareen Johnson <[REDACTED]>; Nick Watkins <[REDACTED]>; Alastair Mackinlay
[REDACTED]
Subject: RE: SOUTHERN FINANCIAL LLC - ONB-1010155 [I]

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Hi Amber,

Please provide an update on the below.