
From: Michael Raphael [REDACTED]
Sent: 9/21/2018 1:40:11 PM
To: Davide-A Sferrazza [REDACTED]
CC: Amit Garg [REDACTED]; Liam Osullivan [REDACTED]
Subject: RE: 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]

Classification: **Confidential**

The number doesn't ring any bells. The name of the acct. sounds familiar but I can't find any SOP activity dating back to 2015. I'd guess you could get some info. out of the lending folks. Start with Sarita Medina. If she can't help, let me know and I can try to come up with a better idea.

From: Davide-A Sferrazza
Sent: Friday, September 21, 2018 1:35 PM
To: Michael Raphael [REDACTED]
Cc: Amit Garg <[REDACTED]>; Liam Osullivan <[REDACTED]>
Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]
Importance: High

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Mike,

Do you happen to have any idea what this account code is? **STRUPDT0118001**

KYC team said the following:

One of the accounts for Southern Financial LLC (GCIS 483882) is Structured Transactions account with account ID on DB Force customer page as **STRUPDT0118001**. We believe it's a dummy account number, as we couldn't fetch any details on DB Insight.

Not sure if you've ever come across this before, and I am not aware of any SP trades with this client since I've been here, but figured it was worth checking with you.

Thanks,
Davide

From: Liam Osullivan
Sent: Friday, September 21, 2018 1:28 PM
To: Davide-A Sferrazza [REDACTED]
Subject: FW: 2018 Periodic Review of Accts Southern Financial LLC (GCIS#483882) & LSJE, LLC (GCIS#499733) under the SOUTHERN FINANCIAL RELATIONSHIP [I] [C]
Importance: High

Classification: **Confidential**

I do not recognize the account code. Do you know what it is? Thanks

From: Stewart Oldfield
Sent: Friday, September 21, 2018 1:20 PM
To: Liam Osullivan [REDACTED]