

Operations Senior Analyst
DBOI Global Services Private Limited

From: Paolo De-Leon
Sent: Friday, March 02, 2018 2:13 PM
To: CUSTOMERBUILD BLO [REDACTED]; Abhijit Mukherjee [REDACTED]
Cc: Keith Buckholz [REDACTED]; CRM-PWM Derivatives [REDACTED]; Collateral Admin-NY [REDACTED]
Subject: RE: Southern Financial LLC [I]

Hello Sendhil,

Please see below.

The screenshot displays a 'View Counterparty' window with the following information:

- Search Matched:** Legal Name: [REDACTED]
- Counterparty Status:** Active
- Admin System:** Paragon
- Trading Status:** STOP
- Legal CP Name:** PWM_UNITED STATES OF AMERICA_80329328032932
- Legal Name:** SOUTHERN FINANCIAL, LLC

Below this, the 'View Counterparty Identifier & Classification' window shows:

- Classification:**
 - NACE Code: 6523101 - Capital investment companies
 - SIC Code: 6700 - Holding and Other Investment Offices
 - NAICS Code: [REDACTED]
 - Batch Code: 754 - WM-PW Corporate
 - Dependent Industry Code: [REDACTED]
- General Codes:** BIC Codes, FRN, Employers Id No. (0), Deutsche Bank No., CCDB No. (0), Account No., HC Customer Type.
- Vendor Codes:** Bankscope Id, Institution key, KIMV Code, Global Vantage Code, IBCA Nicknames.
- BBK Regulatory Attributes:** These fields have been moved to Credit Risk Desktop. Click below button to view Credit Risk Desktop. [CRD]
- CP Class:** CP Class: 15 [Override]
- Industry Hierarchy Flag:** Industry Hierarchy Flag: G
- soCar Party Id:** [REDACTED]

At the bottom, there are additional fields:

- Resp Branch: [REDACTED]
- Fund Risk Flag: [REDACTED]
- Rating Methodology Group: [REDACTED]
- 2A7 Regulated (Only Relevant for US Money Market Funds): [REDACTED]
- Checkboxes: KWG13, KWG14, KWG16, Obligorized, Not Credit Reviewed, Standalone, Fungible.
- Dates: Opening Date: 01-Nov-2013, Credit Application Review Date: 31-Dec-2009.
- Buttons: Rule431, Telephone & Web Details.

From: Sendhil-kumar K On Behalf Of CUSTOMERBUILD BLO
Sent: Friday, March 02, 2018 2:10 PM
To: Abhijit Mukherjee [REDACTED]
Cc: Keith Buckholz [REDACTED]; CRM-PWM Derivatives [REDACTED]; Paolo De-Leon [REDACTED]; Collateral Admin-NY [REDACTED]; CUSTOMERBUILD BLO [REDACTED]
Subject: RE: Southern Financial LLC [I]