

From: Daniel Sabba [REDACTED]
Sent: 11/9/2016 6:21:22 PM
To: Vahe Stepanian [REDACTED]
Subject: RE: High Risk KYC Request: Southern Financial, LLC - CRDS ID: [REDACTED] [I]

Did an attachment come with this?

-----Original Message-----

From: Vahe Stepanian
Sent: Wednesday, November 09, 2016 02:04 PM Pacific Standard Time
To: kyc outreachteam
Cc: Daniel Sabba; Darlene Zong
Subject: RE: High Risk KYC Request: Southern Financial, LLC - CRDS ID: [REDACTED] [I]

Classification: **For internal use only**

Acknowledged, and adding the main coverage team here. We'll be back to you.

From: Michael Valencia **On Behalf Of** kyc outreachteam
Sent: Wednesday, November 09, 2016 5:00 PM
To: Vahe Stepanian
Subject: High Risk KYC Request: Southern Financial, LLC - CRDS ID: [REDACTED] [I]

Classification: **For internal use only**

Dear Vahe,

Please acknowledge within 24hrs and/or complete within 48hrs:

In accordance with Deutsche Bank's ongoing 'Know Your Client' [KYC] requirements, I am writing to you in relation to completing a KYC review for the below entity:

Southern Financial, LLC – Internal DB Ref: [REDACTED]

Client On-boarding (COB) was able to complete a percentage of the KYC Regular Review from existing records as well as information from approved public sources, however, there is still some information which we require from yourself or from the client.

Please refer to the below questions and respond to the best of your knowledge.

N.B. A delay in response will result in escalation to Regional Business Leads and may initiate account closure proceedings. If you received this message in error and are not the appropriate contact person please advise, and if known, provide an appropriate contact person for this client.

<u>Client Contact Information</u>	<u>Sales Response</u>
1. Please provide the following details of a client contact to whom we can reach out to for KYC documentation: a) Name b) Email address c) Telephone number	
2. Please confirm if you are happy for us to contact the above client directly for KYC documents.	
<u>Purpose of Relationship, Business Restrictions & Prohibited Relationships</u>	<u>Sales Response</u>
3. Describe the Purpose of Relationship in respect to the products /	