

Anthony Lentini

From: Liam Osullivan
Sent: Friday, March 30, 2018 10:32 AM
To: Zack Bunimovich; Nina Tona; Xavier Avila; Martin Zeman; Rita Shteynberg
Cc: Mathew Negus; Alastair Mackinlay; Davide-A Sferrazza; Anthony Lentini
Subject: RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]
Attachments: Southern Financial Operating Agreement.pdf

Zack,

Richard is on the board of Southern Trust Co. Southern Trust Co. is the sole member of Southern Financial LLC. The first page of the attached lays out the relationship between Southern Trust Co. and Southern Financial LLC. The 16th page named Richard as member of the board of Southern Trust Co.

Thanks

Liam

Sent with BlackBerry Work
(www.blackberry.com)

From: Zack Bunimovich <[REDACTED]>
Date: Friday, Mar 30, 2018, 9:13 AM
To: Nina Tona <[REDACTED]>, Xavier Avila <[REDACTED]>, Martin Zeman <[REDACTED]>, Rita Shteynberg <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>, Mathew Negus <[REDACTED]>, Alastair Mackinlay <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Anthony Lentini <[REDACTED]>
Subject: RE: Southern Financial LLC - KYC and credit derivatives/convertible bonds onboarding [C] [I]

Classification: **For internal use only**

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