

**From:** Todd Stevens [REDACTED]  
**Sent:** 11/9/2016 6:20:17 PM  
**To:** Stewart Oldfield [REDACTED]  
**Subject:** FW: High Risk KYC Request: Southern Financial, LLC - CRDS ID: 1007406812 [I]

Classification: **For internal use only**

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**From:** Daniel Sabba  
**Sent:** Wednesday, November 09, 2016 6:18 PM  
**To:** Todd Stevens; Zbynek Kozelsky; Darlene Zong; Vahe Stepanian  
**Subject:** FW: High Risk KYC Request: Southern Financial, LLC - CRDS ID: 1007406812 [I]

Todd let's discuss how to respond.

-----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: 1007406812 [I]

Classification: **For internal use only**

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

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**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: 1007406812 [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: [1007406812]**

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.*

Client Contact Information	Sales Response
1. Please provide the following details of a client contact to whom we can reach out to for KYC documentation:	