

Richard Kahn
HBRK Associates Inc.
575 Lexington Avenue 4th Floor
New York, NY 10022
tel [REDACTED]
fax [REDACTED]
cel [REDACTED]

On Apr 17, 2018, at 10:31 AM, Martin Zeman <[REDACTED]> wrote:

Classification: **Confidential**

Richard,

I am following up on my email from last week. We are extending Southern Financial LLC to be able to trade credit derivatives as well as equity derivatives. Would you please kindly fill out the attached form and return?

Also, would you please respond by confirming the date of birth for Darren and yourself as well as the nature of business for Southern Financial LLC:

- Date of Birth for the Legal Reps
 - o Darren K. Indyke [REDACTED]
 - o Richard Kahn [REDACTED]
- Clarification of the Nature of Business
 - o **Private investment vehicle; allocates capital across various asset classes and trading strategies.**

Thanks
Martin

From: Martin Zeman
Sent: Wednesday, April 11, 2018 12:14 PM
To: 'Richard Kahn' [REDACTED]
Cc: 'Paul Barrett' ([REDACTED]); Liam Osullivan
[REDACTED]; Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;
[REDACTED]; Stewart Oldfield [REDACTED]
Subject: CRS + UK FATCA form [C]

Classification: **Confidential**

Richard,

We are working on extending Southern Financial to trade Equity and also Credit Derivatives. Our Verification team noticed that we are missing this one form (attached) to complete the file. The reason