

Alert is False Positive. Mismatch Individuals. Alerted Individual Name is Richard Kahn who violated NYSE Arca Equities Rule by failing to provide testimony as requested by FINRA.

<https://www.google.co.in/url?url=https://www.nyse.com/pdfs/12-ARCA-3.pdf&rct=j&frm=1&q=&esrc=s&sa=U&ei=MD6UVledDsWPuAT924DoCQ&ved=0CBMQFjAA&usq=AFQjCNH6TerGChaKBRHqY5DUNOCAX7ziw>

Alert #3:

Alert is False Positive. Alerted Individual Richard L Kahn is not related to any entity and is a drug dealer as per internal research. Hence no escalation required.

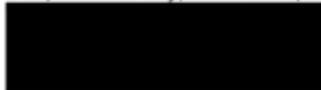
**NOTE:** PCR is NO HIT

Kind regards,



**Syed-Anzar Ahmed**  
Process Supervisor | COB - RDC LOOKBACK TEAM

DBOI Global Services Private Limited  
Global Business Services  
VTP, Electronic City, Hosur Road, 560100 Bangalore, India



*Passion to Perform*

Manikandan Muralidharan---12/19/2014 08:23:07 PM---Classification: For internal use only Hi Team, Request you review the RDC hit received on "Richard K

From: Manikandan Muralidharan/db/dbcom  
To: CAGNY NCA/db/dbcom@DBAmericas,  
Cc: Syed-Anzar Ahmed/db/dbcom@DBAPAC, Suresh-x Salimath/db/dbcom@DBAMERICAS, Jofin Varghese/db/dbcom@DBAMERICAS, Sagar Prakash/db/dbcom@DBAMERICAS, Kameshwaran Ns/db/dbcom@DBAPAC, Anantesh Anand/db/dbcom@DBAMERICAS  
Date: 12/19/2014 08:23 PM  
Subject: Fw: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC - RDC alert Review - Very Urgent [1]

**Classification: For internal use only**

**Hi Team,**

Request you review the RDC hit received on "Richard Kahn, one of the board of director of Parent entity, Southern Trust Company Inc.

*(See attached file: Additional AML checks on Parent entity, board of director.pdf)*