



Manikandan Muralidharan
U S - New Client Adoption

DBOI Global Services Private Limited
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Backup details -
Ganesh Balaji ([REDACTED])
Bharath-Kumar MS ([REDACTED])

For Escalations please contact
Level 1 - Karthik ([REDACTED])
Level 2 - Balaji ([REDACTED])

Passion to Perform

----- Forwarded by Manikandan Muralidharan/db/dbcom on 12/19/2014 08:53 PM -----

From: Syed-Anzar Ahmed/db/dbcom
To: Manikandan Muralidharan/db/dbcom@DBAPAC,
Cc: CAGNY NCA/db/dbcom@DBAmericas, Suresh-x Salimath/db/dbcom@DBAMERICAS, Anantesh Anand/db/dbcom@DBAMERICAS
Date: 12/19/2014 08:42 PM
Subject: Re: Fw: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC - RDC alert Review - Very Urgent [!]

Classification: For internal use only

Hello All,

Please find the details below:

NO ESCALATION REQUIRED

1) Richard Kahn

Alert #1:

Alert is False Positive. Mismatch Individuals. Our client name is Richard Kahn who is controlling person of Southern Financial LLC. Whereas, Alerted Individual name is Richard Jeffrey Kahn who is Wells Fargo Employee and was fined for unregistered activity.

<http://www.bizjournals.com/southflorida/search?q=%22Jeffrey+Kahn%22&title=%3Fiframe%3Dtrue&width=95%25&height=95%25+title%3D+title%3D+title%3D+title%3D%20title=>

Alert #2:

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->