

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-3.pdf&rct=j&frm=1&q=&esrc=s&sa=U&ei=MD6UVIedDsWPuAT924DoCQ&ved=0CBMQFjAA&usg=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  
Tel. + [REDACTED]  
Mobile + [REDACTED]  
Email [REDACTED]

*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/[REDACTED]  
To: CAGNY NCA/[REDACTED]  
Cc: Syed-Anzar Ahmed/[REDACTED], Suresh-x Salimath/[REDACTED], Jofin Varghese/[REDACTED], Sagar Prakash/[REDACTED], Kameshwaran Ns/[REDACTED], Anantesh Anand/[REDACTED]  
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 [!]