

Client Onboarding - NY CAG
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US-CB S-AML---12/17/2014 04:31:50 AM---Classification: For internal use only Hello All, Please note that the UBO verification document is s

US-CB S-AML/db/dbcom

From: Sujith Shetty/db/dbcom@DBAMERICAS,
To: CAGNY NCA/db/dbcom@DBAMERICAS, Jofin Varghese/db/dbcom@DBAMERICAS, Manikandan Muralidharan/db/dbcom@DBAPAC, US-CB S-AML/db/dbcom@DBAMERICAS
Cc: 12/17/2014 04:31 AM
Date: Re: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]
Subject:

Classification: For internal use only

Hello All,

Please note that the UBO verification document is signed by the alleged UBO himself and may not be accepted as such. Please follow the CB&S U.S. AML Due Diligence Requirements to verify ownership:

Obtain information on the organizational structure of the customer to the natural person level (direct or indirect UBOs of 25% or greater). Such information may be obtained through one or more of the following methods:

- Organizational Chart OR
- Letter/e-mail from Internal Counsel, Compliance Officer or Senior Manager (e.g., Control person) OR
- Letter/e-mail from External Counsel OR
- Use of publicly available information (e.g., trusted website) OR
- Use of documentation (e.g., Registry Filing, legal document, etc.)

Should you have any questions, please contact us.

Thank you,



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