

Classification: **For internal use only**

Acknowledged, and adding the main coverage team here. We'll be back to you.

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**From:** Michael Valencia **On Behalf Of** kyc outreachteam  
**Sent:** Wednesday, November 09, 2016 5:00 PM  
**To:** Vahe Stepanian  
**Subject:** High Risk KYC Request: Southern Financial, LLC - CRDS ID: 1007406812 [I]

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Dear Vahe,

Please acknowledge within 24hrs and/or complete within 48hrs:

In accordance with Deutsche Bank's ongoing 'Know Your Client' [KYC] requirements, I am writing to you in relation to completing a KYC review for the below entity:

**Southern Financial, LLC – Internal DB Ref: [1007406812]**

Client On-boarding (COB) was able to complete a percentage of the KYC Regular Review from existing records as well as information from approved public sources, however, there is still some information which we require from yourself or from the client.

Please refer to the below questions and respond to the best of your knowledge.

*N.B. A delay in response will result in escalation to Regional Business Leads and may initiate account closure proceedings. If you received this message in error and are not the appropriate contact person please advise, and if known, provide an appropriate contact person for this client.*

<u>Client Contact Information</u>	<u>Sales Response</u>
1. Please provide the following details of a client contact to whom we can reach out to for KYC documentation: a) Name b) Email address c) Telephone number	
2. Please confirm if you are happy for us to contact the above client directly for KYC documents.	
<u>Purpose of Relationship, Business Restrictions &amp; Prohibited Relationships</u>	<u>Sales Response</u>
3. Describe the Purpose of Relationship in respect to the products / activities / services used by the client. Do the DB products used by the client make sense, considering the nature of their business and investment profile? e.g.: Is the client a guarantor?	
4. Do any Business Restrictions apply to the client relationship? (If 'Yes' please describe) For example, restrictions on trading certain products, types of transactions, or transacting for a specific period of time.	
5. Does the client present any prohibited business factors? (If 'Yes' please describe) Examples may include anonymous accounts, shell banks or Pay-through accounts, certain business activities in Special Risk Countries - SRC).	
<u>Nature of Relationship</u>	<u>Sales Response</u>
6. Does the client engage in business with other areas of DB? (If 'Yes'	