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**From:** John Juul [REDACTED]  
**Sent:** 12/23/2014 2:44:45 PM  
**To:** Wayne Salit [REDACTED]  
**Subject:** RE: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]

Classification: **For internal use only**

Yes, he is. Copying Mike who covers this space from a Line Advisory perspective.

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**From:** Wayne Salit  
**Sent:** Tuesday, December 23, 2014 1:39 PM  
**To:** John Juul  
**Subject:** FW: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]

Classification: **For internal use only**

John –

See information below. Are you familiar with Ted Gonedes? I am trying to figure out if he is senior enough for this decision. Also, the directory does not indicate who Ted reports into.

Let me know your thoughts on whether Ted is the right person to go to with this Rep Risk issue?

Thanks.

Kind Regards,  
Wayne Salit

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**From:** Dmitri Saks  
**Sent:** Tuesday, December 23, 2014 9:32 AM  
**To:** Wayne Salit  
**Cc:** Carlos-A Garcia; Jan Bornebusch  
**Subject:** RE: EDD package for the RID : ONB-120902 LKYCUS-3443 Party name : Southern Financial LLC [I]

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Hi Wayne,

The correct spelling of Courteney's last name is Fornal. She is Director and Registered Principal for the deal. Courteney is on vacation, but she's checking her email and would be available for a chat. Jan and I actually spoke with her a few days ago on a separate topic. I don't believe she's high enough for our purposes but we could definitely start with her.

The Managing Director for this business is William Shelton. He's out on an MTA and this is his out-of-office message: "I am on my mandatory time away with no access to e-mail. I will be back in the office on Friday, January 2nd. For immediate assistance, please call the desk at (212) 250-4940. For emergencies, my mobile number is (917) 913-4868."

The ultimate head of the Business is Ted Gonedes, Global Head of Equity Derivatives Sales for CB&S Markets (sits here in NY). He's also on an MTA and will be back next Monday, December 29.

Thanks and regards,  
Dmitri