

Subject: RE: Southern Financial LLC [I]
From: Paolo De-Leon <[REDACTED]>
Date: Tue, 27 Feb 2018 10:11:29 -0500
To: Keith Buckholz <[REDACTED]>

Davide has confirmed to me that those docs were provided to him from the banking team. Once he submits a request for those docs it usually takes a few days to get them turned around. Thanks.

From: Keith Buckholz
Sent: Tuesday, February 27, 2018 9:37 AM
To: Paolo De-Leon <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

You might want to find out where Davide located these docs. Just for our own knowledge.

I'll update the OTC Onboarding doc this afternoon (the DDR section).

From: Paolo De-Leon
Sent: Tuesday, February 27, 2018 9:32 AM
To: Keith Buckholz <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Yes, sounds good! Davide was pretty efficient with locating and retrieving the necessary docs, so this new process is looking quite promising so far.

From: Keith Buckholz
Sent: Tuesday, February 27, 2018 9:28 AM
To: Paolo De-Leon <[REDACTED]>

Subject: RE: Southern Financial LLC [I]

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Perfect, now we can get this name cleared from the daily margin shortfall/-call report. Thanks.

Keith

From: Paolo De-Leon
Sent: Tuesday, February 27, 2018 9:27 AM
To: Collateral Admin-NY <[REDACTED]>; Abhijit Mukherjee <[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>
Subject: Southern Financial LLC

Hello Abhijit and team,

Can you please add this client to the DDR? Attached are the SACA, Pledge Agreements, and other KYC / onboarding docs.

Please note that there are two accounts for this client: [REDACTED] and [REDACTED]

Thanks and regards,

Paolo

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