

Subject: RE: Southern Financial - KYC Docs. [I]

From: Nina Tona [REDACTED]

Date: Mon, 16 Apr 2018 10:01:26 -0400

To: Xavier Avila <[REDACTED]>

Martin Zeman <[REDACTED]>

Davide-A Sferrazza <[REDACTED]>

Liam Osullivan <[REDACTED]>

Classification: For internal use only

Xavi – the below info was provided, however Martin needs to get confirmation from client that the info we provided is correct.

@Martin – were you able to get the confirmation?

Thank you

Nina Tona

KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank.

Key Client Partners (KCP) products, investment ideas and solutions and related matters discussed herein are provided for discussion purposes only, and strictly on a non-advisory basis. The KCP Americas desk does not provide investment advice.

The information set forth herein is confidential and personal to you and is being presented for your information and for discussion purposes only. Any reproduction and/or redistribution thereof (in whole or in part) or disclosure of its content without our written consent is strictly forbidden. This communication does not create any legally binding

obligation on the part of DBSI or any of its affiliates.

From: Xavier Avila  
Sent: Sunday, April 15, 2018 12:07 PM  
To: Martin Zeman [REDACTED]; Nina Tona [REDACTED]; Davide-A Sferrazza [REDACTED]; Liam Osullivan [REDACTED]  
Subject: RE: Southern Financial - KYC Docs. [I]

Martin,

I discussed the Credit Option when I called Paul with Gaurang again on Thursday and Paul showed dissatisfaction with the fact that he could not still trade the credit trades.

Martin/Nina, Can we make sure we keep pushing on this?

Thanks

From: Martin Zeman  
Sent: Thursday, April 12, 2018 9:08 AM  
To: Nina Tona [REDACTED]; Davide-A Sferrazza [REDACTED]; Liam Osullivan [REDACTED]; Xavier Avila [REDACTED]  
Subject: FW: Southern Financial - KYC Docs. [I]

Liam/David,

Can you see if we have this and if not pls ask Richard Kahn (cc Stewart also). I emailed him yesterday for the Fatca doc so you can just follow on that email chain.

Martin

From: Zack Bunimovich [REDACTED]

Date: Wednesday, Apr 11, 2018, 17:49

To: Martin Zeman [REDACTED], Nina Tona [REDACTED]

Subject: RE: Southern Financial - KYC Docs. [I]

Hi Martin,

Verification asked for two more points of information – see below.

- DOB for the Legal Reps
  - o Darren K. Indyke
  - o Richard Kahn
- Clarification of the NOB.
  - o The NOB provided in the Articles of Organization and Operating Agreement is too vague. Please provide more detailed explanation of NOB.

Thanks,

Zack

From: Martin Zeman  
Sent: Tuesday, April 10, 2018 1:28 PM

To: Zack Bunimovich [REDACTED]; Nina Tona [REDACTED]  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Zack

See the attached email chain where we established that a FATCA form was not needed.

Martin

From: Zack Bunimovich  
Sent: Monday, April 09, 2018 11:47 AM  
To: Martin Zeman [REDACTED]; Nina Tona [REDACTED]  
Subject: FW: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hey Martin / Nina,

Southern Financial is with Verification but they noticed that we do not have a CRS Self Certification form on file anymore from previous onboardings. We are usually looking for something similar to the attached format, but it's possible that the client has provided this before and has their own template. Can this be requested from the client?

Thanks,

Zack

From: Anthony Lentini  
Sent: Monday, April 09, 2018 10:51 AM  
To: Zack Bunimovich [REDACTED]  
Subject: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hi Zack,

An update on Southern Financial, it is with Verification and they are reviewing right now. While they were going through their review they noticed that the CRS Self Cert file from a previous onboarding is no longer on file/- in the system.

Could you please send over a new CRS Self Cert so they can proceed with their review?

Apologies for the inconvenience.

Kind Regards,

{cid:1\_\_=0FBBF1B8DFF0A9818f9e8a93df9386909@db.com}

Anthony Lentini

Client Data Services | C00 DBUSA Core Corp.

5201 Gate Parkway

Jacksonville FL32256  
[REDACTED]

