

Subject: RE: Southern Financial LLC [I] [C]
From: Nina Tona <[REDACTED]>
Date: Tue, 06 Feb 2018 08:15:15 -0500
To: Davide-A Sferrazza <[REDACTED]>

Classification: Confidential

Don't forgot please J

Thank you

Nina Tona

From: Davide-A Sferrazza
Sent: Monday, February 05, 2018 3:43 PM
To: Nina Tona <[REDACTED]>; Liam Osullivan <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

Sorry, no, I did not get back to you.

I will take a look at this again today!

From: Nina Tona
Sent: Monday, February 05, 2018 3:41 PM
To: Davide-A Sferrazza <[REDACTED]>; Liam Osullivan <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

Hi Davide,

Was this ever provided?

Thank you

Nina Tona

From: Nina Tona
Sent: Thursday, January 18, 2018 12:14 PM
To: Davide-A Sferrazza <[REDACTED]>; Liam Osullivan
<[REDACTED]>; Xavier Avila <[REDACTED]>; Martin Zeman
<[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Joshua Shoshan
<[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

Hi Davide,

Did you have a chance to look into the below?

Thank you

Nina Tona

From: Davide-A Sferrazza
Sent: Tuesday, January 16, 2018 6:35 PM
To: Nina Tona <[REDACTED]>; Liam Osullivan <[REDACTED]>;
Xavier Avila <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Joshua Shoshan
<[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

Removed Mat from chain –

I have some of this information from the KYC/account docs we have on file, but I will work with Stew Oldfield's team tomorrow to get the rest of this info and send all together.

Thanks,

Davide

From: Nina Tona
Sent: Tuesday, January 16, 2018 4:07 PM
To: Liam Osullivan <[REDACTED]>; Xavier Avila
<[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus
<[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

Hi Martin and Liam,

Please also advise on the below.

- Organization Chart
- UBOs (Owners) that own greater than 10%
- The source of funds for the UBOs (owners) that are greater than 10%
- List of Legal representatives
- Annual report

Thank you

Nina Tona

From: Liam Osullivan
Sent: Friday, December 15, 2017 5:27 PM
To: Xavier Avila <[REDACTED]>; Nina Tona <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I] [C]

Classification: Confidential

DBSI Account: Southern Financial LLC
DBSI Account #: [REDACTED]

Pershing LLC

DTC: 443

Euroclear: 98730

Incoming USD instructions:

Bank: Bank of New York
ABA: [REDACTED]
Beneficiary: Pershing LLC
Beneficiary #: [REDACTED]
FFC (ref):
DBSI Account: Southern Financial LLC
DBSI Account #: [REDACTED]

I have attached both the Non USD currency instructions and the Foreign Trade Settlement Instructions.

From: Xavier Avila
Sent: Friday, December 15, 2017 5:09 PM
To: Nina Tona <[REDACTED]>; Martin Zeman <[REDACTED]>; Liam Osullivan <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Liam, can you provide the WM Pershing account details for Southern Financial LLC?

Liam the below is an example of SSIs we got with another client.

{cid:image001.png@01D37409.FA34AC40}

Euroclear 93593 and CEDEL 13463

{cid:image001.png@01D37409.FA34AC40}

From: Nina Tona
Sent: Friday, December 15, 2017 2:47 PM
To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus
<[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Xavi,

In the addition to the SSI and call back person I also need the Tax Document.

Thank you

Nina Tona

From: Nina Tona
Sent: Thursday, December 14, 2017 5:16 PM
To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus
<[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Martin,

Please advise on the below.

- Standard settlement instructions- (Please note there are 8 products, will the SSI be the same or different?)
- SSI Call back person

{cid:image002.png@01D35EBE.3C7B7F40}

Thank you

Nina Tona

From: Martin Zeman
Sent: Tuesday, December 05, 2017 1:47 PM
To: Nina Tona <[REDACTED]>; Xavier Avila <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Nina,

See attached – that should complete the whole process.

Martin

From: Nina Tona
Sent: Wednesday, November 29, 2017 9:18 AM
To: Xavier Avila <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus
<[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin,

Please advise if you have # 2 and 4.

Thank you

Nina Tona

From: Xavier Avila
Sent: Monday, November 27, 2017 10:29 AM
To: Nina Tona <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus
<[REDACTED]>; Joshua Shoshan <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

PENDING W/BUSINESS

EFTA01406542

1. Provide RR (Sales Rep) AND RP (Desk Head) I will be the ACO and the RP of the Account. Martin Zeman will be the RR.
2. Provide Certification of Incorporation Martin to follow up
3. ACO Attestation – Xavier Avila. I will be the ACO of the Account
4. BSF Form – Please work with the client to have the attached filled out. Martin/Davide to follow up
5. MD sales approval – Xavi please approve the below. Approved

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities. Approved

{cid:image002.png@01D35EBE.3C7B7F40}

From: Nina Tona
Sent: Monday, November 27, 2017 8:47 AM
To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>
Subject: RE: Southern Financial LLC [I]

Good Morning Xavi and Martin,

Kindly advise on the below.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)
2. Provide Certification of Incorporation
3. ACO Attestation – Xavier Avila
4. BSF Form – Please work with the client to have the attached filled out.
5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

{cid:image002.png@01D35EBE.3C7B7F40}

Thank you

Nina Tona

From: Nina Tona
Sent: Thursday, November 16, 2017 9:35 AM
To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>

EFTA01406544

Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus

<[REDACTED]>

Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin and Xavi,

Please advise on the below, we have 6 weeks to complete this process.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)
2. Provide Certification of Incorporation
3. ACO Attestation – Xavier Avila
4. BSF Form – Please work with the client to have the attached filled out.
5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

{cid:image002.png@01D35EBE.3C7B7F40}

Thank you

Nina Tona

From: Nina Tona
Sent: Tuesday, November 14, 2017 10:51 AM
To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>
Subject: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin,

Hope all is well.

Southern Financial LLC is one of the accounts GM wanted to off-board thus we are working on retaining the client. In order to do so, kindly provide the below info.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)
2. Provide Certification of Incorporation
3. ACO Attestation – Xavier Avila
4. BSF Form – Please work with the client to have the attached filled out.
5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

{cid:image002.png@01D35EBE.3C7B7F40}

Thanks

Kind regards,

{https://brandportal.intranet.db.com/img/modules/-
DAWM_logo_metallic_46x46.gif}

Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

Deutsche Bank Wealth Management

5022 Gate Parkway

Jacksonville, Florida 32256

Tel. [REDACTED]

Email [REDACTED]

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