

Subject: RE: [REDACTED] - Southern Financial [C]
From: Cynthia Rodriguez <[REDACTED]>
Date: Thu, 22 Feb 2018 13:34:38 -0500
To: Davide-A Sferrazza <[REDACTED]>

Classification: Confidential

Yes they are. Do you need them for just southern financial?

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

From: Davide-A Sferrazza
Sent: Thursday, February 22, 2018 1:31 PM
To: Cynthia Rodriguez <[REDACTED]>
Subject: RE: [REDACTED] - Southern Financial [C]

Classification: Confidential

I should have access to anything that is tagged as KCP Eligible, but for some reason I can't see KYC docs for Southern Financial.

Are the PCR and RDC docs on there as well?

Thanks,
Davide

From: Cynthia Rodriguez
Sent: Thursday, February 22, 2018 1:26 PM
To: Davide-A Sferrazza <[REDACTED]>
Subject: RE: [REDACTED] - Southern Financial [C]

Classification: Confidential

Hi Davide,

Do you have DB Force?

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA
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From: Davide-A Sferrazza
Sent: Thursday, February 22, 2018 1:19 PM
To: Cynthia Rodriguez <[REDACTED]>
Subject: RE: [REDACTED] - Southern Financial [C]

Classification: Confidential

Hi Cynthia,

We are being asked for some documentation for Southern Financial LLC's OTC collateral set up, as follows:

- KYC (we have this from your email below)
- PCR – "Preventative Crime Research"
- RDC – "Regulatory Data Corp"

I am not familiar with PCR and RDC – is this something that you are familiar with/have access to?

Happy to hop on the phone to discuss!

Thank you,
Davide

From: Cynthia Rodriguez
Sent: Thursday, January 11, 2018 4:08 PM
To: Stewart Oldfield <[REDACTED]>; Zbynek Kozelsky <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Joshua Shoshan <[REDACTED]>
Subject: RE: [REDACTED] - Southern Financial [I]

Classification: For internal use only

Hi Ziggy,

See attached. Thanks.

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Bank Wealth Management
345 Park Avenue, 24th Fl 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

From: Stewart Oldfield
Sent: Thursday, January 11, 2018 4:05 PM
To: Zbynek Kozelsky <[REDACTED]>; Cynthia Rodriguez <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Joshua Shoshan <[REDACTED]>
Subject: RE: [REDACTED] - Southern Financial

Copying Cynthia. Thanks

From: Zbynek Kozelsky
Sent: Thursday, January 11, 2018 3:41 PM
To: Stewart Oldfield <[REDACTED]>
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Joshua Shoshan <[REDACTED]>; Zbynek Kozelsky <[REDACTED]>
Subject: [REDACTED] - Southern Financial

Hi Stew,

The above account is collateral one and DBOI is setting it up to feed into the "LS2" system (I am told it tracks loans/collateral).

For them to set that up they need the PB KYC – please send that to me.

Thanks!

Ziggy

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Zbynek "Ziggy" Kozelsky
Director | Branch Administrative Manager

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