

Subject: RE: Southern Financial - KYC Docs. [I]
From: Nina Tona <[REDACTED]>
Date: Thu, 12 Apr 2018 12:15:57 -0400
To: Zack Bunimovich <[REDACTED]>, Martin Zeman <[REDACTED]>
Cc: Anthony Lentini <[REDACTED]>

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Zack – just to confirm, the below info provide is sufficient or do we need to get it directly from client?

Thank you

Nina Tona

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From: Zack Bunimovich
Sent: Thursday, April 12, 2018 12:04 PM
To: Nina Tona <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Anthony Lentini <[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I]

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Hi Nina,

The team hasn't informed me of anything else.

Verification said the NOB provided below will suffice, however (as with the other information) they will need this to either come from the client, or to be confirmed by the client.

Thanks,

Zack

From: Nina Tona
Sent: Thursday, April 12, 2018 10:27 AM
To: Zack Bunimovich <[REDACTED]>; Martin Zeman <[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I]

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Thanks, Zack. Is there anything else pending besides the below.

Thank you

Nina Tona

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From: Zack Bunimovich
Sent: Thursday, April 12, 2018 10:26 AM
To: Nina Tona <[REDACTED]>; Martin Zeman <[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hi Nina – I can see if this works.

Thanks,

Zack

EFTA01406778

From: Nina Tona
Sent: Thursday, April 12, 2018 9:45 AM
To: Zack Bunimovich <[REDACTED]>; Martin Zeman
<[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I]

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Hi Zack,

Please see below.

- DOB for the Legal Reps
 - o Darren K. Indyke [REDACTED]
 - o Richard Kahn [REDACTED]
- 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.
Private investment
vehicle; allocates capital across various asset classes and trading strategies.

Thank you

Nina Tona

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From: Zack Bunimovich
Sent: Wednesday, April 11, 2018 5:50 PM
To: Martin Zeman <[REDACTED]>; Nina Tona <[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I]

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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]

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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]

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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

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