

Subject: RE: Southern Financial - KYC Docs. [I] [C]
From: Nina Tona <[REDACTED]>
Date: Thu, 12 Apr 2018 09:45:42 -0400
To: Liam Osullivan <[REDACTED]>,
Martin Zeman <[REDACTED]>,
Davide-A Sferrazza <[REDACTED]>,
Xavier Avila <[REDACTED]>

Classification: Confidential

Thank you

Nina Tona

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From: Liam Osullivan
Sent: Thursday, April 12, 2018 9:42 AM
To: Martin Zeman <[REDACTED]>; Nina Tona <[REDACTED]>; [REDACTED]
A Sferrazza <[REDACTED]>; Xavier Avila <[REDACTED]>
Subject: RE: Southern Financial - KYC Docs. [I] [C]

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Classification: Confidential

- 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.

From: Martin Zeman

Sent: Thursday, April 12, 2018 9:08 AM

To: Nina Tona <[REDACTED]>; [REDACTED]-A Sferrazza <[REDACTED]>; [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]

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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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