

Subject: RE: Southern Financial - KYC Docs. [I]  
From: Zack Bunimovich <[REDACTED]>  
Date: Tue, 08 May 2018 12:22:48 -0400  
To: Nina Tona <[REDACTED]>  
Cc: Davide-A Sferrazza <[REDACTED]>

Classification: For internal use only

Hi Nina,

AFC came back with some questions for Martin this morning. Ill loop you in.  
It's the last step before downstream setups.

Thanks,

Zack

From: Nina Tona  
Sent: Tuesday, May 08, 2018 12:12 PM  
To: Zack Bunimovich <[REDACTED]>  
Cc: Davide-A Sferrazza <[REDACTED]>  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hello Zack – please advise where we stand with this. I understand it's with AFC.

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: Aiasha Khokhar  
Sent: Thursday, April 19, 2018 5:07 PM  
To: Zack Bunimovich <[REDACTED]>; Martin Zeman <[REDACTED]>; Nina Tona <[REDACTED]>  
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Xavier Avila <[REDACTED]>; Joshua Shoshan <[REDACTED]>  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

To add one,

For question number 2, the tax form is needed for reporting purposes, it's a requirement to collect tax form as part of KYC and ensures that the client is FATCA compliant as per IRS regulations.

Please feel free to reach out if you have any questions / concerns.

Thx

Best Regards,

Aiasha Khokhar

From: Aiasha Khokhar  
Sent: Thursday, April 19, 2018 5:00 PM  
To: Zack Bunimovich <[REDACTED]>; Martin Zeman  
<[REDACTED]>; Nina Tona <[REDACTED]>  
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;  
Xavier Avila <[REDACTED]>; Joshua Shoshan  
<[REDACTED]>  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hi Zack:

Please attach the CRS form to review.

However the client must reach out to their tax team for clarification as we are not authorized to give tax advice or help.

Client also has to provide a tax form as well.

Thanks

Best Regards,

Aiasha Khokhar

From: Zack Bunimovich  
Sent: Thursday, April 19, 2018 1:22 PM  
To: Martin Zeman <[REDACTED]>; Nina Tona <[REDACTED]>; Aiasha Khokhar <[REDACTED]>  
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Xavier Avila <[REDACTED]>; Joshua Shoshan <[REDACTED]>  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hi Aiasha,

I was told you would be able to assist with the below questions Southern Financial had about our CRS form. Can you take a look?

Martin – I will see if this confirmation from Richard works...

Thanks,

Zack

From: Martin Zeman  
Sent: Thursday, April 19, 2018 10:54 AM  
To: Zack Bunimovich <[REDACTED]>; Nina Tona <[REDACTED]>  
Cc: Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>  
<[REDACTED]>; Xavier Avila <[REDACTED]>; Joshua Shoshan  
<[REDACTED]>  
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Zack,

See attached the FATCA + CRS form. Three follow-up questions from the client:

- 1. Can we clarify the definition of 'Active NFE – other' versus 'Passive NFE' under Part 2 (b). The definition is not very clear to the client. They believe they are 'Active NFE – other' but want clarification
- 2. Can you say what happens with the information in this form? What does DB do with it and who is it reported to?
- 3. Do US Virgin Islands also fall under this reporting requirement?

On the other points, note the DOB of their legal reps are:

Darren Indyke [REDACTED]

Richard Kahn [REDACTED]

(see confirmation of this in the attached email from Richard Kahn)

Thanks

Martin

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]

Classification: For internal use only

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

Tel.: (██████████)

E-mail: ██████████vminute delay NA