

Subject: Southern Financial Collateral Acct [I]  
From: Roddy Moore <[REDACTED]>  
Date: Wed, 02 Sep 2015 14:56:34 -0400  
To: Daniel Sabba <[REDACTED]>,  
Vahe Stepanian <[REDACTED]>,  
Ariane Dwyer <[REDACTED]>  
Cc: Troy-D Williams <[REDACTED]>,  
Nicholas Haigh <[REDACTED]>

Classification: For internal use only

All of the facts should be widely known at this point. CRM doesn't set up accts. If it isn't KCP, then it's someone who KCP is working with to get the accts set up. They weren't set up properly from the beginning, because the back office hasn't been provided what they need to do so. This is ultimately KCP's responsibility. CRM has nothing to do with onboarding. There have been numerous emails on this on which your team has been included.

From: Daniel Sabba  
Sent: Wednesday, September 02, 2015 2:50 PM  
To: Roddy Moore; Vahe Stepanian; Ariane Dwyer  
Cc: Troy-D Williams  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

I am still gathering the facts here, but who set up these collateral accounts initially? Was it CRM or KCP?

And why weren't they set up correctly from the beginning?

From: Roddy Moore  
Sent: Wednesday, September 02, 2015 2:40 PM  
To: Vahe Stepanian; Ariane Dwyer  
Cc: Troy-D Williams; Daniel Sabba  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

If she is out, then why can't you take care of it? The collateral still isn't being monitored properly. Given what happened last week, I'd hope that we'd want to spare your team from having to go back to the client with a call that contradicts his exposure report.

From: Vahe Stepanian  
Sent: Wednesday, September 02, 2015 2:37 PM  
To: Roddy Moore; Ariane Dwyer  
Cc: Troy-D Williams; Daniel Sabba  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

Roddy – Ari is out of the office today. She will follow up with you tomorrow morning.

Thank you,

Vahe

From: Roddy Moore  
Sent: Wednesday, September 02, 2015 2:33 PM  
To: Ariane Dwyer  
Cc: Vahe Stepanian; Troy-D Williams; Daniel Sabba  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

Is this done?

From: Roddy Moore

Sent: Wednesday, September 02, 2015 10:30 AM  
To: Ariane Dwyer  
Cc: Vahe Stepanian; Troy-D Williams; Daniel Sabba  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

Why don't you just look at your existing clients, and have the back office send you the SIC codes for those similar to SF/ST? Have them mimic the one for JAWS, as it's the same kind of client. Hopefully, we can finally bring closure to this.

From: Ariane Dwyer  
Sent: Monday, August 31, 2015 1:25 PM  
To: Roddy Moore  
Cc: Vahe Stepanian  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

Hi Roddy,

Joe is on his MTA and I spoke with Caleb and Andy and they both do not know. Any other ideas?

Best,

Ari

From: Roddy Moore  
Sent: Monday, August 31, 2015 11:23 AM  
To: Ariane Dwyer  
Cc: Vahe Stepanian  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

It's my understanding that this is part of onboarding. Have you tried Caleb or Joe?

From: Ariane Dwyer  
Sent: Monday, August 31, 2015 11:15 AM  
To: Roddy Moore  
Cc: Vahe Stepanian  
Subject: RE: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

Hi Roddy,

I just spoke with Ellenoi and Mary Davitt and they do not work with SIC codes. Do you know who else could provide this information?

Best,

Ari

From: Roddy Moore  
Sent: Friday, August 28, 2015 2:56 PM  
To: Ariane Dwyer  
Cc: Vahe Stepanian; Daniel Sabba; Collateral Admin-NY  
Subject: URGENT: Collateral Admin - [REDACTED] [I]

Classification: For internal use only

This should be sent to the back office. CC'd... They'll also need the SIC

code to set up the acct.

From: Ariane Dwyer  
Sent: Friday, August 28, 2015 2:54 PM  
To: Roddy Moore  
Cc: Vahe Stepanian; Daniel Sabba  
Subject: [I]

Classification: For internal use only

Please find attached KYCs for Southern Financial.

Best,  
Ari

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Ariane Dwyer  
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