

Briana Saffold

From:

Martin Zeman

Sent:

To:

Cc:

Subject:

Friday, April 27, 2018 8:49 AM

Zack Bunimovich; Nina Tona; Rita Shteynberg

Liam Osullivan; Davide-A Sferrazza; Xavier Avila; Joshua Shoshan

FW: Please fill out -> CRS + UK FATCA form [C] [I]

Classification: For internal use only

Zack,

See below confirmation from Southern Financial as requested. Let's get this processed as a priority now please.

Thank you

Martin

From: Darren Indyke AOL [mailto:]

Sent: Thursday, April 26, 2018 6:29 PM

To: Martin Zeman < >

Cc: Richard Kahn < >; Paul Barrett

< >; Liam Osullivan

< >; Xavier Avila < >; Davide-A

Sferrazza < >;

Stewart Oldfield < >; Jeanne Brennan

< >

Subject: Re: Please fill out -> CRS + UK FATCA form [C]

Confirmed.

Sent from my iPhone. Please excuse the typos.

On Apr 26, 2018, at 5:46 PM, Martin Zeman < > wrote:

Richard,

Thank you for your response from last week. Our verification team would like you to confirm the nature of business for Southern Financial LLC. A simple "confirmed" will suffice please.

Clarification of the Nature of Business

o

trading strategies.

Thank you

Martin

Private investment vehicle; allocates capital across various asset classes and

Martin Zeman

Director | Key Client Partners

1

Deutsche Bank Wealth Management
DB Securities Inc
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

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From: Richard Kahn [mailto:[REDACTED]]

Sent: Thursday, April 19, 2018 9:30 AM

To: Martin Zeman <[REDACTED]>

Cc: Paul Barrett <[REDACTED]>; Liam Osullivan

<[REDACTED]>; Xavier Avila

<[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;

Stewart Oldfield

<[REDACTED]>; Jeanne Brennan <[REDACTED]>; Darren Indyke

<[REDACTED]>

Subject: Re: Please fill out -> CRS + UK FATCA form [C]

Please correct DOB as follows:

Darren Indyke 2-19-1965

Richard Kahn 12-6-1972

thank you

Richard Kahn

HBRK Associates Inc.

575 Lexington Avenue 4th Floor

New York, NY 10022

tel [REDACTED]

fax [REDACTED]

cell [REDACTED]

On Apr 17, 2018, at 10:31 AM, Martin Zeman <[REDACTED]> wrote:

Classification: Confidential

Richard,

I am following up on my email from last week. We are extending Southern Financial LLC

to be able to trade credit derivatives as well as equity derivatives. Would
you please
kindly fill out the attached form and return?
2

Also, would you please respond by confirming the date of birth for Darren and yourself

as well as the nature of business for Southern Financial LLC:

-
-

Date of Birth for the Legal Reps

o Darren K. Indyke

o Richard Kahn

and trading strategies.

Thanks

Martin

From: Martin Zeman

Sent: Wednesday, April 11, 2018 12:14 PM

To: 'Richard Kahn' <[REDACTED]>

Cc: 'Paul Barrett ([REDACTED])'

<[REDACTED]>; Liam

Osullivan <[REDACTED]>; Xavier Avila <[REDACTED]>;

Davide-A

Sferrazza <[REDACTED]>; Stewart Oldfield

<[REDACTED]>

Subject: CRS + UK FATCA form [C]

Classification: Confidential

Richard,

We are working on extending Southern Financial to trade Equity and also Credit

Derivatives. Our Verification team noticed that we are missing this one form (attached)

to complete the file. The reason we need this is because for the OTC products you are

facing DBAG London. Are you able to fill this out and return please?

Thanks

Martin

<image002.gif>

Martin Zeman

Director | Key Client Partners

Deutsche Bank Wealth Management

DB Securities Inc

345 Park Avenue, 10154-0004 New York, NY, USA

Tel. [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

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3

02/19/1955

03/09/1974

Clarification of the Nature of Business

o Private investment vehicle; allocates capital across various asset classes

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<CRS + UK FATCA Entity Self Cert.pdf>

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4