

Subject: DF - Your Client List - Details To Be Confirmed (Urgent) [I]
From: Robert McKay <[REDACTED]>
Date: Mon, 08 Jan 2018 15:57:43 -0500
To: Stewart Oldfield <[REDACTED]>

Classification: For internal use only

HI Stewart,

As part of Dodd Frank (DF) Regulation, clients who trade GM products will be receiving quarterly and annual disclosures. We are currently going through a clean-up exercise to ensure we have an accurate client list with up-to-date client information.

The ask is for you to review your client list (see table below) and confirm whether these will be transacting GM products. Can you advise:

1. If you believe that these clients will be transacting, if so please confirm client email (this is the email address we'll use to send disclosures too) in column F
2. If they will not, please provide your confirmation that these clients can be off boarded from GM platforms. Please put N in column E
3. Also, If you believe clients are missing from your population can you please advise the client name.

Unfortunately this is an urgent request, therefore, can you please respond at your earliest.

Thanks.

RM Client List:

RM Assigned to Client

Client

Client Email

Confirm this is your Client (Y/N)

If client to be off-boarded please put N

Confirm Client Email

Stewart Oldfield

SOUTHERN FINANCIAL LLC

[REDACTED]

Stewart Oldfield

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