

Subject: RE: Please fill out -> CRS + UK FATCA form [C]  
From: Martin Zeman <[REDACTED]>  
Date: Thu, 19 Apr 2018 10:12:57 -0400  
To: Richard Kahn <[REDACTED]>  
Cc: Paul Barrett <[REDACTED]>,  
Liam Osullivan <[REDACTED]>  
Xavier Avila <[REDACTED]>  
Davide-A Sferuzzi <[REDACTED]>,  
Stewart Oldfield <[REDACTED]>,  
Jeanne Brennan <[REDACTED]>,  
Darren Indyke <[REDACTED]>

Richard, thanks – we corrected the DOB on our side.

Can you please also confirm that the following is correct:

- Clarification of the Nature of Business
- o Private investment vehicle; allocates capital across various asset classes and trading strategies.

Thank you

Martin

{cid:image001.gif@01D259D5.3E2DF0F0}

Martin Zeman  
Director | Key Client Partners

Deutsche Bank Wealth Management  
DB Securities Inc

345 Park Avenue, 10154-0004 New York, NY, USA  
[REDACTED]

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From: Richard Kahn [mailto: ]  
Sent: Thursday, April 19, 2018 9:30 AM  
To: Martin Zeman <martin.zeman@db.com>  
Cc: Paul Barrett < >; Liam Osullivan <Liam.osullivan@db.com>; Xavier Avila <xavier.avila@db.com>; Davide-A Sferrazza <davide-a.sferrazza@db.com>; Stewart Oldfield < >; Jeanne Brennan < >; Darren Indyke < >  
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 212-971-1306  
fax 212-320-0381  
cell 917-414-7584

On Apr 17, 2018, at 10:31 AM, Martin Zeman <martin.zeman@db.com> 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?

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 02/19/1955

o Richard Kahn

03/09/1974

- Clarification of the Nature of Business

o Private investment vehicle; allocates capital across various asset classes 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 <liam.osullivan@db.com>; Xavier Avila <xavier.avila@db.com>; Davide-A Sferrazza <davide-a.sferrazza@db.com>; Stewart Oldfield <[REDACTED]>  
Subject: CRS + UK FATCA form [C]

Classification: Confidential

Richard,

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

EFTA01426756

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

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<CRS + UK FATCA Entity Self Cert.pdf>

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