

Subject: Re: Please fill out -> CRS + UK FATCA form [C]  
From: Darren Indyke AOL <[REDACTED]>  
Date: Thu, 26 Apr 2018 18:29:09 -0400  
To: Martin Zeman <[REDACTED]>  
Cc: Richard Kahn <[REDACTED]>, Paul Barrett <[REDACTED]>, Liam Osullivan <[REDACTED]>, Xavier Avila <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Stewart Oldfield <[REDACTED]>, Jeanne Brennan <[REDACTED]>

Confirmed.

Sent from my iPhone. Please excuse the typos.

On Apr 26, 2018, at 5:46 PM, Martin Zeman <[REDACTED]> 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 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

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 [REDACTED]

Richard Kahn [REDACTED]

thank you

Richard Kahn  
HBRK Associates Inc.  
575 Lexington Avenue 4th Floor  
New York, NY 10022

[REDACTED]  
[REDACTED]  
[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?

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 <[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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<CRS + UK FATCA Entity Self Cert.pdf>

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