

Subject: RE: Please fill out -> CRS + UK FATCA form [C]
From: Stewart Oldfield <[REDACTED]>
Date: Wed, 18 Apr 2018 10:49:23 -0400
To: Martin Zeman <[REDACTED]>, Richard Kahn <[REDACTED]>
Cc: "Paul Barrett ([REDACTED])" <[REDACTED]>, Liam Osullivan <[REDACTED]>, Xavier Avila <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>

Rich, just circling back on this. Happy to hop on a call to discuss if necessary. Thanks

From: Martin Zeman
Sent: Tuesday, April 17, 2018 10:32 AM
To: 'Richard Kahn' <[REDACTED]>
Cc: 'Paul Barrett ([REDACTED])' <[REDACTED]>; Liam Osullivan <[REDACTED]> Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]> Stewart Oldfield <[REDACTED]>
Subject: Please fill out -> CRS + UK FATCA form [C]

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 [REDACTED]
- o Richard Kahn [REDACTED]

- 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

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

Martin Zeman
Director | Key Client Partners

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