



Master KYC Profile

Print

Southern Financial LLC

Global Risk Rating

High

SRC Nexus

No

| Address               | Summary                  | Industry Classifications | Client Letters | AFD Categorisation |
|-----------------------|--------------------------|--------------------------|----------------|--------------------|
| Street Address Line 1 | 6100 Red Hook Quarter B3 |                          |                | State              |
| Street Address Line 2 |                          |                          |                | City St Thomas     |
| Street Address Line 3 |                          |                          |                | Country VI         |
| Street Address Line 4 |                          |                          |                | Postal Code 00002  |

Entity Information Business Relationship Related Parties KYC Questions History CA Case History

Entity Information

| Adoption Location | Business Line  | KYC Status | AML Escalation | Conditional Approval Status | Risk Rating | Last Review Date | Next Review Date | Conditional Approval Expiry Date |
|-------------------|----------------|------------|----------------|-----------------------------|-------------|------------------|------------------|----------------------------------|
| US                | Global Markets | Completed  | True           |                             | High        | 16 Jan 2015      | 16 Jan 2015      |                                  |

Thanks

**From:** Jay Lipman  
**Sent:** 13 February 2015 17:51  
**To:** Sowmya-D R; Nitesh Gupta  
**Cc:** Sagar-A Valecha; corporate chasing; GCO Account-Opening; Prabhuling-C Kottalagi; Sanjay Mehta; Kumar Sambhav; Vahe Stepanian  
**Subject:** RE: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*

Hi,

I need a response here urgently. Please respond ASAP.

**From:** Sowmya-D R  
**Sent:** Thursday, February 12, 2015 4:00 PM  
**To:** Nitesh Gupta  
**Cc:** Sagar-A Valecha; corporate chasing; GCO Account-Opening; Jay Lipman; Prabhuling-C Kottalagi; Sanjay Mehta; Kumar Sambhav  
**Subject:** Fw: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*

Classification: Public

Hi Nitesh,

Need your urgent attention on the below as client is expecting amended confirmation ASAP.

Thanks & Regards,

Soumya D R  
 Derivative Documentation  
 DBOI Global Services Pvt Ltd,

Phone: [Redacted]  
 Email: [Redacted]

Alternative contact Anil-S Kumar ( [Redacted] ) Ph: [Redacted] Or Ambaji Mane ( [Redacted] )

ph: + [Redacted]  
 For any escalation please contact : [Redacted] Ph: [Redacted]

Group ID : [Redacted]

----- Forwarded by [Redacted] on 02/13/2015 02:29 AM -----

From: [Redacted]