

Hi Wayne,

The correct spelling of Courteney's last name is Fornal. She is Director and Registered Principal for the deal. Courteney is on vacation, but she's checking her email and would be available for a chat. Jan and I actually spoke with her a few days ago on a separate topic. I don't believe she's high enough for our purposes but we could definitely start with her.

The Managing Director for this business is William Shelton. He's out on an MTA and this is his out-of-office message: "I am on my mandatory time away with no access to e-mail. I will be back in the office on Friday, January 2nd. For immediate assistance, please call the desk at (212) 250-4940. For emergencies, my mobile number is (917) 913-4868."

The ultimate head of the Business is Ted Gonedes, Global Head of Equity Derivatives Sales for CB&S Markets (sits here in NY). He's also on an MTA and will be back next Monday, December 29.

Thanks and regards,
Dmitri



Dmitri Saks
AML Compliance Officer

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Tel: +1 (212) 250-4760
E-mail: [REDACTED]

Passion to Perform

From: Carlos-A Garcia
Sent: Tuesday, December 23, 2014 8:15 AM
To: Wayne Salit
Cc: Carlos-A Garcia; Dmitri Saks
Subject: FW: EDD package for the RID : [REDACTED] Party name : Southern Financial LLC [I]

Classification: **For internal use only**

Hello Wayne,

From the information listed below, it appears that Courteney B Fornal is the head for this request.

Kind regards,

Carlos Garcia

From: Carlos-A Garcia **On Behalf Of** US-CB S-AML
Sent: Tuesday, December 23, 2014 8:13 AM