

Subject: RE: KCP Collateral Flow [I]
From: Paolo De-Leon <[REDACTED]>
Date: Thu, 22 Feb 2018 09:27:15 -0500
To: Keith Buckholz <[REDACTED]>

GM Keith,

We were only sent the KYC doc for Southern Financial per the attached email.
I believe Teresa and team were still gathering the PCR and RDC documents
per last conversation.

Also, I anticipate Davide will ask to be pointed in the right direction as
to where to retrieve these docs. Shall I suggest he reach out to Teresa as
her team was previously in charge of retrieving those docs?

Thanks,

Paolo

From: Keith Buckholz
Sent: Thursday, February 22, 2018 9:22 AM
To: Paolo De-Leon <[REDACTED]>
Subject: FW: KCP Collateral Flow [I]

Classification: For internal use only

Did Teresa send us these documents (PCR and RDC) for a client? I figured we
could forward them to Davide and Xavi as examples.

Regards,
Keith

From: Davide-A Sferrazza
Sent: Wednesday, February 21, 2018 6:54 PM
To: Xavier Avila <[REDACTED]>; Keith Buckholz
<[REDACTED]>
Cc: Paolo De-Leon <[REDACTED]>
Subject: RE: KCP Collateral Flow [I]

Classification: For internal use only

Yes, happy to take point here.

Like Xavi mentions, I'm also not sure what PCR and RDC refer to – can you please clarify and I'll provide for the accts below?

Thank you,
Davide

From: Xavier Avila
Sent: Wednesday, February 21, 2018 11:44 AM
To: Keith Buckholz <[REDACTED]>; Davide-A Sferrazza <davide-[REDACTED]>
Cc: Paolo De-Leon <[REDACTED]>
Subject: RE: KCP Collateral Flow [I]

Sounds good, DAvide can you pls take the lead and let me know if any issues?

I don't know what PCR and RDC stands for.

Thanks

Xavi

From: Keith Buckholz

Sent: Wednesday, February 21, 2018 11:19 AM

To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <davide-[REDACTED]>
Cc: Paolo De-Leon <[REDACTED]>
Subject: RE: KCP Collateral Flow [I]

Hi Xavi,

These are the three docs I referred to in our conversation at my desk last week. The Collateral Admin group requires a dummy LS2 facility to be set up to enable the WM collateral value to show up in CMV. That group will not set up an LS2 facility for a new client unless they have certain documentation / information (KYC, PCR, RDC, SIC code, NACE code); BRM will provide the SIC and NACE codes. We'll also ask the documentation team (i.e. Ellenoi) to build this into their required doc list so we don't have to ask you moving forward.

Regards,
Keith

From: Paolo De-Leon
Sent: Wednesday, February 21, 2018 10:43 AM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <davide-[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>
Subject: KCP Collateral Flow

Hello Xavi and Davide,

Can you kindly provide the following documents for the below three KCP clients. These docs are required so that we can on board these clients into our daily derivative report, which will allow collateral values to flow correctly.

Client name

Docs needed

The Lamia Ventures Corp

KYC, PCR, RDC

PW Focus Fund LLC

KYC, PCR, RDC

Southern Financial LLC

KYC, PCR, RDC

Thanks and regards,

Paolo