

Hi Alex,

For adoption location Frankfurt, the following trade has been booked in Summit application for OTC Derivative Product, details as follows:

Trade ID: [REDACTED]  
Summit Code: SOUTHFINANMD  
Date of Trade: 13/04/2018  
Client Name: Southern Financial, LLC

We have got your name as a sales person from Summit application.

We have observed that the client is not adopted for Frankfurt location, which results in a KYC violation. In order to comply with DB's internal policies and procedures, all KYC requirements now have to be fulfilled, if the trade should stand against Deutsche Bank

Kindly review your trade and where possible, please consider to rebook the trade to an adoption location, where the client is already adopted for OTC Derivative product or confirm if it is a valid trade for the particular location.

Upon your confirmation, we will review the client and would request the missing documents to be obtained from the client/business as per Frankfurt location guidelines.

**Summit screenshot: Trade Details**

Trade Type	Trade ID	Version	SubType	Amended	Status	Book	Broker	Currency	Currency pair	Collateral	Company	Customer
SWAP	[REDACTED]	5	CCYShAP	13/04/2018	Verified	LAG_SWAPS		USD,EUR		N	DB_AG	SOUTHFINANMD

Regards

Akash Malhotra  
Associate | Client on Boarding

DBOI Global Services Private Limited  
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