

From: Xavier Avila

Sent: 17 April 2018 02:30

To: Jimmy-H Xu <[REDACTED]>; Mathew Negus <[REDACTED]>; Akash Malhotra <[REDACTED]>

Cc: Joe Aglione <[REDACTED]>; Ian Salters <[REDACTED]>; Nina Tona <nina.tona@db.com>; Pankaj-A Chopra <[REDACTED]>; NCAOTC Derivatives <[REDACTED]>; Martin Zeman <[REDACTED]>; Alka Gopala <[REDACTED]>

Subject: RE: KYC Breach_SOUTHFINANMD_Southern Financial, LLC_FFT Location [I]

Done, thanks.

Are all the XCCYs generally booked and clients KYCed in DB AG FFT? What about EUR and GBP vanilla and inflation swaps? We might have some of those coming.

Mat/Nina, who can help us with FFT extensions, same NY CMs?

Thanks

From: Jimmy-H Xu <[REDACTED]>

Date: Monday, Apr 16, 2018, 11:56

To: Xavier Avila <[REDACTED]>; Mathew Negus <[REDACTED]>; Akash Malhotra <[REDACTED]>

Cc: Joe Aglione <[REDACTED]>; Ian Salters <[REDACTED]>; Nina Tona <[REDACTED]>; Pankaj-A Chopra <[REDACTED]>; NCAOTC Derivatives <ncaotc.derivatives@db.com>; Martin Zeman <[REDACTED]>; Alka Gopala <[REDACTED]>

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Classification: **For internal use only**

Approved as one-off, but let's get the KYC done for FFT please

Thanks

Kind regards

Jimmy



Jimmy-H Xu

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From: Xavier Avila [mailto:xavier.avila@db.com]

Sent: 16 April 2018 17:55