

To: Mathew Negus <[REDACTED]>; Akash Malhotra <[REDACTED]>;
[REDACTED]
Cc: Joe Aglione <[REDACTED]>; Ian Salters <[REDACTED]>; Nina Tona <[REDACTED]>;
Pankaj-A Chopra <[REDACTED]>; NCAOTC Derivatives <[REDACTED]>; Martin
Zeman <[REDACTED]>; Alka Gopala <[REDACTED]>
Subject: RE: KYC Breach_SOUTHFINANMD_Southern Financial, LLC_FFT Location [I]

Shawn, MO, is it ok to move this trade to London pls?

From: Mathew Negus
Sent: Monday, April 16, 2018 9:03 AM
To: Xavier Avila <[REDACTED]>; Akash Malhotra <[REDACTED]>
Cc: Shawn Staker <[REDACTED]>; NCAOTC Derivatives <[REDACTED]>; Pankaj-A
Chopra <[REDACTED]>; Alka Gopala <[REDACTED]>; Nina Tona <[REDACTED]>;
Ian Salters <[REDACTED]>; Martin Zeman <[REDACTED]>
Subject: RE: KYC Breach_SOUTHFINANMD_Southern Financial, LLC_FFT Location [I]

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I would re-book to London if the desk agrees.

From: Xavier Avila
Sent: Monday, April 16, 2018 7:44 AM
To: Akash Malhotra <[REDACTED]>
Cc: Shawn Staker <[REDACTED]>; NCAOTC Derivatives <[REDACTED]>; Pankaj-A
Chopra <[REDACTED]>; Alka Gopala <[REDACTED]>; Nina Tona <[REDACTED]>;
Ian Salters <[REDACTED]>; Mathew Negus <[REDACTED]>; Martin Zeman
<[REDACTED]>
Subject: RE: KYC Breach_SOUTHFINANMD_Southern Financial, LLC_FFT Location [I]

Negus, what do we do with the below?

If easy extension to OTC Rates FFT we can provide docs, if not we move this to London where client is onboarded? Thanks

Xavier Avila
Managing Director
Deutsche Bank Securities Inc
[REDACTED]

From: Akash Malhotra <[REDACTED]>
Date: Monday, Apr 16, 2018, 07:34
To: Xavier Avila <[REDACTED]>
Cc: Shawn Staker <[REDACTED]>; NCAOTC Derivatives <[REDACTED]>; Pankaj-A Chopra <[REDACTED]>;
[REDACTED] <[REDACTED]>; Alka Gopala <[REDACTED]>
Subject: KYC Breach_SOUTHFINANMD_Southern Financial, LLC_FFT Location [I]

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Hi Alex,