

Winchester House, 1 Great Winchester Street, EC2N 2DB London, United Kingdom

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Email [REDACTED]

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**From:** Xavier Avila [mailto:[REDACTED]]  
**Sent:** 16 April 2018 17:55  
**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]

[REDACTED] MO, is it ok to move this trade to London pls?

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**From:** Mathew Negus  
**Sent:** Monday, April 16, 2018 9:03 AM  
**To:** Xavier Avila [REDACTED]; Akash Malhotra [REDACTED]  
**Cc:** [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]

Classification: **For internal use only**  
I would re-book to London if the desk agrees.

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**From:** Xavier Avila  
**Sent:** Monday, April 16, 2018 7:44 AM  
**To:** Akash Malhotra [REDACTED]  
**Cc:** [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]

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**From:** Akash Malhotra [REDACTED]  
**Date:** Monday, Apr 16, 2018, 07:34  
**To:** Xavier Avila [REDACTED]