

From: Akash Malhotra [REDACTED]
Sent: 4/17/2018 10:19:48 AM
To: Nina Tona [REDACTED]; Mathew Negus [REDACTED]; Jimmy-H Xu [REDACTED]; Xavier Avila [REDACTED]
CC: Joe Aglione [REDACTED]; Ian Salters [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]

Classification: **For internal use only**

Hi Xavier,

The trade is still reflecting under FFT location. Request you to action and confirm.

Trade Type	Trade ID	Version	SubType	Amended	Status	Book	B	Currency	C	Collateral	Company	Customer	Deal ID	Desk
SWAP	G175714L	5	CCYSWAP	13/04/2018	Verified	LAG_SWAPS		USD,EUR		N	DB_AG	SOUTHFINANMD		OTC_LN

Quote

From: Xavier Avila [mailto:[REDACTED]]
Sent: 16 April 2018 17:55
To: Mathew Negus [REDACTED]; Akash Mali [REDACTED]
Cc: Joe Aglione [REDACTED]; Ian Salters [REDACTED]; Martin Zeman [REDACTED]
Subject: RE: KYC Breach_SOUTHFINANMD_Southern [REDACTED]

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

Unquote

Regards

Akash Malhotra
Associate | Client on Boarding

DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City - SEZ, 302029 Jaipur, India
Tel: [REDACTED]
Email: [REDACTED]

Escalations Contact:- [REDACTED]

From: Nina Tona [REDACTED]
Sent: Tuesday, April 17, 2018 6:02 PM
To: Mathew Negus [REDACTED]; Jimmy-H Xu [REDACTED]; Xavier Avila [REDACTED]; Akash Malhotra [REDACTED]
Cc: Joe Aglione [REDACTED]; Ian Salters [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]