

Cash Fixed Income DVP/RVP	Cash Equities DVP/RVP	OTC Derivatives (Rates)	FX options	FX Cash	Commodities	GED	Convertible Bonds	# Products onboarded
DB AG (LDN)	DBSI	DB AG (LDN)	DB AG (LDN)	DB AG (LDN)	DB AG (LDN)	DBSI	DBSI & DB AG (LDN)	8

Thank you

Nina Tona

From: Nina Tona

Sent: Thursday, November 16, 2017 9:35 AM

To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>

Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin and Xavi,

Please advise on the below, we have 6 weeks to complete this process.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)
2. Provide Certification of Incorporation
3. ACO Attestation – Xavier Avila
4. BSF Form – Please work with the client to have the attached filled out.
5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

Cash Fixed Income DVP/RVP	Cash Equities DVP/RVP	OTC Derivatives (Rates)	FX options	FX Cash	Commodities	GED	Convertible Bonds	# Products onboarded
DB AG (LDN)	DBSI	DB AG (LDN)	DB AG (LDN)	DB AG (LDN)	DB AG (LDN)	DBSI	DBSI & DB AG (LDN)	8

Thank you

Nina Tona

From: Nina Tona

Sent: Tuesday, November 14, 2017 10:51 AM

To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus <[REDACTED]>

Subject: Southern Financial LLC [I]

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Hi Martin,

Hope all is well.