

Subject: RE: New Derivatives account. [I]  
From: Paolo De-Leon <[REDACTED]>  
Date: Wed, 07 Feb 2018 15:29:55 -0500  
To: Teresa Metallo <[REDACTED]>, Keith Buckholz <[REDACTED]>  
Cc: Jason Wang <[REDACTED]>, Dawn Forbes <[REDACTED]>

Teresa,

Can you let us know who your points of contact are in AML/Onboarding?

Thank you,

Paolo

From: Teresa Metallo  
Sent: Wednesday, February 07, 2018 12:26 PM  
To: Keith Buckholz <[REDACTED]>  
Cc: Jason Wang <[REDACTED]>; Paolo De-Leon <[REDACTED]>; Dawn Forbes <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Keith,

After reviewing with the Offshore Team on the documentation and for accuracy on providing client information, I propose the AML/Onboarding Team provide the documents since they can provide for both Wealth Management and the Brokerage accounts.

Let me know your thoughts

Teresa Metallo  
Vice President  
WM OPS  
Regulatory - Risk & Control

60 Wall Street  
New York, NY 10005  
Tel # ( [REDACTED] )

From: Keith Buckholz  
Sent: Wednesday, February 07, 2018 10:24 AM  
To: Teresa Metallo <[REDACTED]>  
Cc: Jason Wang <[REDACTED]>; Paolo De-Leon <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Teresa,

I think this is smoothest and least burdensome process on our two groups.  
We'll basically send an email to your team and collateral admin NY and all  
you have to do is add the KYC, PCR, and RDC docs.

Regards,  
Keith

From: Paolo De-Leon  
Sent: Wednesday, February 07, 2018 9:07 AM  
To: Teresa Metallo <[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Jason Wang <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hello Teresa,

Kindly just following up. Can you please confirm if you are in agreement with the below proposal as we have a couple of clients that we are eager to get set up on the DDR.

Thanks,

Paolo

From: Paolo De-Leon  
Sent: Tuesday, February 06, 2018 5:22 PM  
To: Teresa Metallo <[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Jason Wang <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hi Teresa,

Fortunate news- we here at risk have identified a process where we can provide the LS2 team the SIC Code and NACE code. However, we ask that your team help out by acting as the point of contact for retrieving the KYC, PCR and RDC documents.

Are you in agreement with this proposal?

Regards,

Paolo

From: Teresa Metallo  
Sent: Thursday, January 18, 2018 12:11 PM  
To: Paolo De-Leon <[REDACTED]>; Surendra Singh  
<[REDACTED]>; Abhijit Mukherjee <[REDACTED]>; Debra  
Jasper <[REDACTED]>; Halina Laczny <[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Srikanta Gouda  
<[REDACTED]>; '[REDACTED]' <[REDACTED]>  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Paolo,

I will set up a call with all to discuss how we can support these requests.

Thanks,

Teresa Metallo  
Vice President  
WM OPS  
Regulatory - Risk & Control

60 Wall Street  
New York, NY 10005  
Tel # ([REDACTED])

From: Paolo De-Leon  
Sent: Thursday, January 18, 2018 11:07 AM  
To: Surendra Singh <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>; Debra Jasper <[REDACTED]>; Halina  
Laczny <[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Srikanta Gouda  
<[REDACTED]>; '[REDACTED]' <[REDACTED]>  
<[REDACTED]>; Teresa Metallo <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Adding Teresa to the thread.

Teresa- it seems that Gideon Pinedo who I believe was previously on your direct team used to help out with retrieving the below information. Would you happen to have someone on your team that can help provide Surenda with the below information so that he can build the dummy bond in LS2 and so that ultimate we can add collateral into the daily derivative report, which is an important report that risk relies upon.

Debbie and Halina- please let us know who the direct owners of the below information is (note that these are Wealth Management clients).

SIC Code

NACE Code

KYC Document

PCR Document

RDC Document

Thank you,

Paolo

{cid:image008.png@01D03F70.4C7A39B0}

Paolo De Leon  
Assistant Vice President | Credit Risk Officer  
Deutsche Bank Trust Company Americas

Business Risk Management  
345 Park Avenue - 14th Floor  
New York, NY, USA 10154-0004  
Tel. [REDACTED]  
Email [REDACTED]

From: Surendra Singh  
Sent: Thursday, January 18, 2018 10:56 AM  
To: Paolo De-Leon <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>; Debra Jasper <[REDACTED]>; Halina  
Laczny <[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Srikanta Gouda  
<[REDACTED]>; [REDACTED] <[REDACTED]>  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Paolo,

I am not sure who should be the right contact to provide relevant information. I would assume that Gedeon Pinedo used to provided such information in past however he left the bank.

EFTA01398553

@ Debbie/Halina,

Would you please assist on below mail if you know the right contact to get in touch with?

Kind regards,  
Surendra Singh

---

{Description: Description: cid:image001.png@01D05A73.A4EB0930}

Surendra Singh  
Associate | COO Wealth Management Operations

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

Go green. Consider the environment before printing this email.

From: Paolo De-Leon  
Sent: Thursday, January 18, 2018 10:32 AM  
To: Surendra Singh <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>; Srikanta Gouda  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hi Abhijit and Surenda,

Just to confirm my understanding of the process, Abhijit's team cannot proceed with adding of the collateral to the daily derivative report until Surenda's team builds a dummy bond in LS2, and Surenda cannot proceed unless she has the below highlighted items? So it seems that process is in a logjam until all the below information is retrieved.

Surenda- in the past when onboarding Wealth Management clients onto LS2, what was the name of the person who provided to you the below information? It seems that in Srikanta note below that CRM is responsible for providing the LS2 team with that information, but CRM is typically involved only with credit risk analysis and margining approval; the information below seems operational and compliance based in nature. I'd like to track down the ultimate owners of the below information so that we can create a process around retrieving this information when setting up new LS2 profiles.

SIC Code

NACE Code

KYC Document

PCR Document

RDC Document

Thanks,

Paolo

{cid:image008.png@01D03F70.4C7A39B0}

Paolo De Leon  
Assistant Vice President | Credit Risk Officer  
Deutsche Bank Trust Company Americas

Business Risk Management  
345 Park Avenue - 14th Floor  
New York, NY, USA 10154-0004  
Tel. [REDACTED]  
Email [REDACTED]

From: Sachiva Gupta  
Sent: Wednesday, January 17, 2018 11:07 AM  
To: Paolo De-Leon <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi,

Please exclude my name from the mail.

Kind Regards,

{cid:image018.png@01D16466.59BF5C10}

Sachiva Gupta

Senior Analyst | Securities Operations - WM US

C00 Wealth Management Operations

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

Go green. Consider the environment before printing this email.

From: Paolo De-Leon  
Sent: Wednesday, January 17, 2018 11:02 AM  
To: Sachiva Gupta <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hi Sachiva and Abhijit,

Kindly just following up please. Can you please provide an update.

Thanks,

Paolo

From: Paolo De-Leon  
Sent: Thursday, January 11, 2018 4:55 PM  
To: Sachiva Gupta <[REDACTED]>; Abhijit Mukherjee  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: FW: New Derivatives account. [I]

Hello Sachiva and Abhijit,

Please see attached and please proceed with setting up the dummy facility in LS2 so that the collateral can be linked to the DDR.

Thanks,

Paolo

{cid:image008.png@01D03F70.4C7A39B0}

Paolo De Leon  
Assistant Vice President | Credit Risk Officer  
Deutsche Bank Trust Company Americas

Business Risk Management  
345 Park Avenue - 14th Floor  
New York, NY, USA 10154-0004  
Tel. [REDACTED]  
Email [REDACTED]

From: Diana Canter  
Sent: Thursday, January 11, 2018 4:36 PM  
To: Paolo De-Leon <[REDACTED]>; Teresa Metallo  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Kind regards,

Diana Canter

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{https://brandportal.intranet.db.com/img/modules/-  
DAWM\_logo\_metallic\_46x46.gif}

Diana Canter  
Director | Supervisory Principals Group-Business Supervisory Office

Deutsche Bank Securities Inc.  
Deutsche Bank Wealth Management  
1 South Street, 21202-3298 Baltimore, MD, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

From: Paolo De-Leon  
Sent: Thursday, January 11, 2018 11:55 AM  
To: Diana Canter <[REDACTED]>; Teresa Metallo  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Thanks,

Please retrieve for these below accounts:

SOUTHERN FINANCIAL LLC

N4G025403

N4G026161

From: Diana Canter  
Sent: Thursday, January 11, 2018 11:45 AM

EFTA01398559

To: Paolo De-Leon <[REDACTED]>; Teresa Metallo  
<[REDACTED]>  
Cc: Keith Buckholz <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

These are different account numbers than were provided way below originally?

Kind regards,  
Diana Canter

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Diana Canter  
Director | Supervisory Principals Group-Business Supervisory Office

Deutsche Bank Securities Inc.  
Deutsche Bank Wealth Management  
1 South Street, 21202-3298 Baltimore, MD, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

From: Paolo De-Leon  
Sent: Thursday, January 11, 2018 11:33 AM  
To: Teresa Metallo <[REDACTED]>  
Cc: Diana Canter <[REDACTED]>; Keith Buckholz  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

The account numbers are below:

- N4G025098
- N4G025114

Thanks,

Paolo

From: Paolo De-Leon  
Sent: Thursday, January 11, 2018 10:13 AM  
To: Teresa Metallo <[REDACTED]>  
Cc: Diana Canter <[REDACTED]>; Keith Buckholz  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hello- please see below.

{cid:image004.png@01D38F83.357B30F0}

From: Teresa Metallo  
Sent: Thursday, January 11, 2018 10:04 AM  
To: Paolo De-Leon <[REDACTED]>  
Cc: Diana Canter <[REDACTED]>; Keith Buckholz  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Paolo,

Can you provide the client's account number

Teresa Metallo  
Vice President  
WM OPS  
Regulatory - Risk & Control

60 Wall Street  
New York, NY 10005  
Tel # ( [REDACTED] )

From: Paolo De-Leon  
Sent: Thursday, January 11, 2018 9:57 AM  
To: Teresa Metallo < [REDACTED] >  
Cc: Diana Canter < [REDACTED] >; Keith Buckholz  
< [REDACTED] >  
Subject: RE: New Derivatives account. [I]

Hello Teresa,

Can you kindly provide the below documents for Southern Financial LLC?

KYC Document

PCR Document

RDC Document

Thank you,

Paolo

{cid:image008.png@01D03F70.4C7A39B0}

Paolo De Leon  
Assistant Vice President | Credit Risk Officer  
Deutsche Bank Trust Company Americas

Business Risk Management  
345 Park Avenue - 14th Floor  
New York, NY, USA 10154-0004  
Tel. [REDACTED]  
Email [REDACTED]

From: Diana Canter  
Sent: Wednesday, January 10, 2018 1:39 PM  
To: Keith Buckholz <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Sure – let me know if u need more of if Teresa is not able to help you?

D

Kind regards,  
Diana Canter

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Diana Canter  
Director | Supervisory Principals Group-Business Supervisory Office  
Deutsche Bank Securities Inc.

EFTA01398563

Deutsche Bank Wealth Management  
1 South Street, 21202-3298 Baltimore, MD, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

From: Keith Buckholz  
Sent: Tuesday, January 09, 2018 4:50 PM  
To: Diana Canter <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Thanks for the quick follow up. We will reach out to Teresa tomorrow afternoon if we don't hear back from her by then. Thanks again.

Regards,

Keith

From: Diana Canter  
Sent: Tuesday, January 09, 2018 4:16 PM  
To: Keith Buckholz <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Hi Keith – I tried to call you but no voice mail J

Gideon used to work for Teresa Metallo so I have reached out to her

She is checking on this one

Just fyi – one of the accounts you listed far below has been closed on Pershing since 4/28/2014

D

Kind regards,  
Diana Canter

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{[https://brandportal.intranet.db.com/img/modules/-DAWM\\_logo\\_metallic\\_46x46.gif](https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif)}

Diana Canter  
Director | Supervisory Principals Group-Business Supervisory Office

Deutsche Bank Securities Inc.  
Deutsche Bank Wealth Management  
1 South Street, 21202-3298 Baltimore, MD, USA  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

From: Keith Buckholz  
Sent: Tuesday, January 09, 2018 2:21 PM  
To: Diana Canter <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: FW: New Derivatives account. [I]

Classification: For internal use only

Hi Diana,

We are looking for some KYC information on a client. Do you know who can provide us with this information? We are being told an LS2 facility cannot be setup without these docs (which we need to set up an OTC collateral account). Apparently, Gideon Pinedo helped with this process in the past.

EFTA01398565

Thanks.

KYC Document

PCR Document

RDC Document

Regards,  
Keith

From: Funda Bozkurt  
Sent: Tuesday, January 09, 2018 2:16 PM  
To: Keith Buckholz <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

You can ask Zia Memon /Diana Canter. The team reports to him.

---

Funda Bozkurt

Deutsche Bank Trust Company Americas.  
WM-Divisional Control Office

345 Park Avenue, 10154-0004 New York, NY, USA  
Tel. + [REDACTED]  
Email [REDACTED]

From: Keith Buckholz  
Sent: Tuesday, January 09, 2018 2:15 PM  
To: Funda Bozkurt <[REDACTED]>  
Cc: Paolo De-Leon <[REDACTED]>  
Subject: FW: New Derivatives account. [I]

Importance: High

Classification: For internal use only

Hi Funda,

Do you know who owns or maintains KYC documentation (for WM accounts)?  
Thanks.

Regards,  
Keith

From: Keith Buckholz  
Sent: Friday, December 08, 2017 11:38 AM  
To: Srikanta Gouda <[REDACTED]>; Surendra Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>; Sendhil-kumar K <[REDACTED]>; 'FX Middle Office' <[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina Laczny <[REDACTED]>; Hiren Mathur <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>; Enid Ellis <[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>  
Subject: RE: New Derivatives account. [I]  
Importance: High

Classification: For internal use only

Hi Srikanta,

Is there an escalation point for this issue? Going forward BRM will not be providing KYC documentation to have collateral accounts set up. Thanks.

Regards,

Keith

Keith Buckholz, CAIA

Director | Credit Risk Officer

Deutsche Bank Wealth Management

Business aligned Risk Management

345 Park Avenue, MS NYC20-1406

New York, NY 10154

Tel: [REDACTED]

Mobile: [REDACTED]

From: Keith Buckholz

Sent: Monday, November 20, 2017 2:01 PM

To: Srikanta Gouda <[REDACTED]>; Surendra Singh

<[REDACTED]>; Collateral Admin-NY <[REDACTED]>

Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY

<[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>;

Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>

<[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott

<[REDACTED]>; Halina Laczny <[REDACTED]>; Hiren Mathur

<[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>;

Enid Ellis <[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>

<[REDACTED]>

Subject: RE: New Derivatives account. [I]

Srikanta,

I was asking if you knew someone (an actual person) who has provided your team with these docs in previous requests. I'll reach to that person for the documents your team requires. Thanks.

Keith

Sent with BlackBerry Work  
(www.blackberry.com)

From: Srikanta Gouda <[REDACTED]>

Date: Monday, Nov 20, 2017, 1:43 PM

To: Surendra Singh <[REDACTED]>, Keith Buckholz  
<[REDACTED]>, Collateral Admin-NY <[REDACTED]>

Cc: Nitin-X Singh <[REDACTED]>, Collateral Admin-NY  
<[REDACTED]>, CUSTOMERBUILD BLO <[REDACTED]>, Sendhil-kumar K <[REDACTED]>, FX Middle Office <[REDACTED]>, Debra Jasper <[REDACTED]>, Roxanne Scott <[REDACTED]>, Halina Laczny <[REDACTED]>, Hiren Mathur <[REDACTED]>, CRM-PWM Derivatives <[REDACTED]>, Enid Ellis <[REDACTED]>, Collateral-Assets Newyork <[REDACTED]>

Subject: RE: New Derivatives account. [I]

Classification: For internal use only

As mentioned earlier...

"Please note – CRM or the requester used to provide the below requested information to Customerbuild team whenever there is a necessity to onboard a new client"

Yes.. but not sure, whom do Requester or CRM reach out to get these documents. Thanks

Kind regards,  
Srikanta Gouda

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{cid:image005.png@01D05C2C.001ECF80}

Srikanta Gouda  
Process Supervisor

DBOI Global Services Private Limited  
Global Business Services  
Velankani Tech park, No 43, Electronic City, Hosur Road,, 560100 Bangalore,  
India  
Email [REDACTED]

From: Surendra Singh  
Sent: Tuesday, November 21, 2017 12:06 AM  
To: Keith Buckholz <[REDACTED]>; Srikanta Gouda <[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>; Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle Office <[REDACTED]>; Hiren Mathur <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>; Enid Ellis <[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Srikanta,

Please advise Keith on below mail.

Kind regards,  
Surendra Singh

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{Description: Description: cid:image001.png@01D05A73.A4EB0930}

Surendra Singh  
Associate | COO Wealth Management Operations

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

Go green. Consider the environment before printing this email.

From: Keith Buckholz  
Sent: Monday, November 20, 2017 1:27 PM  
To: Surendra Singh <[REDACTED]>; Srikanta Gouda  
<[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY  
<[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>;  
Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>;  
<[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott  
<[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle  
Office <[REDACTED]>; Hiren Mathur <[REDACTED]>;  
CRM-PWM Derivatives <[REDACTED]>; Enid Ellis  
<[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Surenda,

We do need this set up. I am trying to track down these documents, not sure who has them.

When the dummy account is set up in LS2, who normally provides these docs?  
Thanks.

Regards,  
Keith

From: Surendra Singh  
Sent: Monday, November 20, 2017 1:09 PM  
To: Srikanta Gouda <[REDACTED]>; Keith Buckholz <[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>; Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle Office <[REDACTED]>; Hiren Mathur <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>; Enid Ellis <[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hello Keith,

Please confirm if below request was completed or it is not needed to be set up anymore.

Kind regards,  
Surendra Singh

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{Description: Description: cid:image001.png@01D05A73.A4EB0930}

Surendra Singh  
Associate | COO Wealth Management Operations

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

Go green. Consider the environment before printing this email.

From: Srikanta Gouda  
Sent: Wednesday, November 15, 2017 7:46 AM  
To: Surendra Singh <[REDACTED]>; Keith Buckholz  
<[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Nitin-X Singh <[REDACTED]>; Collateral Admin-NY  
<[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>;  
Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>;  
[REDACTED]; Debra Jasper <[REDACTED]>; Roxanne Scott  
<[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle  
Office <[REDACTED]>; Hiren Mathur <[REDACTED]>;  
CRM-PWM Derivatives <[REDACTED]>; Enid Ellis  
<[REDACTED]>; Collateral-Assets Newyork <[REDACTED]>  
<[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Keith,

EFTA01398573

Generally we do not required the below information in order to setting up a New DDR account.( If the Client is already On boarded to LS2 ). However in this case, We do not see the client is onboard to LS2, in order to onboard the client, Customerbuild team would require the below information. Once the client is onboard, we will go head and create the collateral account.

Please note – CRM or the requester used to provide the below requested information to Customerbuild team whenever there is a necessity to onboard a new client.

Please feel free to reach out to me if you have any question.

Kind regards,  
Srikanta Gouda

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{cid:image005.png@01D05C2C.001ECF80}

Srikanta Gouda  
Process Supervisor

DBOI Global Services Private Limited  
Global Business Services  
Velankani Tech park, No 43, Electronic City, Hosur Road,, 560100 Bangalore,  
India  
Email [REDACTED]

From: Surendra Singh  
Sent: Wednesday, November 15, 2017 1:43 AM  
To: Keith Buckholz <[REDACTED]>; Collateral Admin-NY <[REDACTED]>  
Cc: Srikanta Gouda <[REDACTED]>; Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>; Sendhil-kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle Office <[REDACTED]>; Hiren Mathur <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>; Enid Ellis <[REDACTED]>;

Collateral-Assets Newyork <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Keith,

Collateral Team has asked for this information to proceed further.

@ Collateral Team,

Please assist Keith on below request.

Kind regards,  
Surendra Singh

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{Description: Description: cid:image001.png@01D05A73.A4EB0930}

Surendra Singh  
Associate | COO Wealth Management Operations

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

Go green. Consider the environment before printing this email.

From: Keith Buckholz  
Sent: Tuesday, November 14, 2017 3:12 PM  
To: Surendra Singh <[REDACTED]>  
Cc: Srikanta Gouda <[REDACTED]>; Nitin-X Singh <[REDACTED]>;  
[REDACTED]>; Collateral Admin-NY <[REDACTED]>;  
CUSTOMERBUILD BLO <[REDACTED]>; Sendhil-kumar K <[REDACTED]>;  
[REDACTED]>; FX Middle Office <[REDACTED]>; Debra  
Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina  
Laczny <[REDACTED]>; FX Middle Office <[REDACTED]>;  
[REDACTED]>; Hiren Mathur <[REDACTED]>; CRM-PWM  
Derivatives <[REDACTED]>; Enid Ellis <[REDACTED]>;  
Collateral-Assets Newyork <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Surendra,

Can you please let me know who is asking for this information? We have never provided this information in the past when setting up new DDR accounts. I also don't have access to the requested documents. Thanks.

Regards,  
Keith

From: Surendra Singh  
Sent: Tuesday, November 14, 2017 11:00 AM  
To: Keith Buckholz <[REDACTED]>  
Cc: Srikanta Gouda <[REDACTED]>; Surendra Singh  
<[REDACTED]>; Nitin-X Singh <[REDACTED]>; Collateral  
Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO  
<[REDACTED]>; Surendra Singh <[REDACTED]>; Sendhil-  
kumar K <[REDACTED]>; FX Middle Office <[REDACTED]>;  
[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott  
<[REDACTED]>; Halina Laczny <[REDACTED]>; FX Middle  
Office <[REDACTED]>; Hiren Mathur <[REDACTED]>;  
CRM-PWM Derivatives <[REDACTED]>; Enid Ellis  
<[REDACTED]>  
Subject: FW: New Derivatives account. [I]

Classification: For internal use only

Hello Keith,

Relevant team is asking to provide below information to get this request processed further. Request you to provide the same.

SIC Code

NACE Code

KYC Document

PCR Document

RDC Document

Kind regards,  
Surendra Singh

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{Description: Description: cid:image001.png@01D05A73.A4EB0930}

Surendra Singh  
Associate | COO Wealth Management Operations

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

Fax [REDACTED]  
Mobile + [REDACTED]  
Email [REDACTED]

Go green. Consider the environment before printing this email.

From: Abhijit Mukherjee On Behalf Of Collateral Admin-NY  
Sent: Tuesday, November 14, 2017 10:22 AM  
To: Sachiva Gupta <[REDACTED]>  
Cc: Srikanta Gouda <[REDACTED]>; [REDACTED] <[REDACTED]>; Surendra Singh <[REDACTED]>; Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>; CUSTOMERBUILD BLO <[REDACTED]>; Surendra Singh <[REDACTED]>; Sendhil-kumar K <[REDACTED]>  
Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Sachiva,

Please provide the below requested information to Customerbuild team in order to set up the customer in LS2.

SIC Code

NACE Code

KYC Document

PCR Document

RDC Document

@ Sendhil – Once you receive the required information, please set up a Guarantor profile in LS2.

Note – Once the Customer is set up and \$1 Facility is created in LS2, we will link the collateral account to DDR.

Kind regards,  
Abhijit Mukherjee

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{cid:image008.png@01D03F70.4C7A39B0}

Abhijit Mukherjee

DBOI Global Services Private Limited  
Global Business Services  
Block 8, Velankani Tech Park, No.:43, Electronic City, Hosur Road, 560100  
Bangalore, India

Voip [REDACTED]

Mobile + [REDACTED]

Email [REDACTED]

For Level 1 escalations please contact Mohammed-B Hussain at email id :

[REDACTED]

For Level 2 escalations please contact Melvin V at email id : [REDACTED]

{cid:image009.png@01D03F70.4C7A39B0}

From: Abhijit Mukherjee On Behalf Of Collateral Admin-NY

Sent: Saturday, November 04, 2017 1:50 AM

To: Sachiva Gupta <[REDACTED]>

Cc: Srikanta Gouda <[REDACTED]>; '[REDACTED]' <[REDACTED]>; Surendra Singh <[REDACTED]>; Nitin-X Singh <[REDACTED]>; Collateral Admin-NY <[REDACTED]>

Subject: RE: New Derivatives account. [I]

Classification: For internal use only

Hi Sachiva,

We did not find the below customer built in LS2. Kindly reach out to Customer build team to get it built under guarantor profile.

Thanks.

Kind regards,  
Abhijit Mukherjee

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{cid:image008.png@01D03F70.4C7A39B0}

Abhijit Mukherjee

DBOI Global Services Private Limited  
Global Business Services  
Block 8, Velankani Tech Park, No.:43, Electronic City, Hosur Road, 560100  
Bangalore, India

Voip [REDACTED]

Mobile + [REDACTED]

Email [REDACTED]

For Level 1 escalations please contact Mohammed-B Hussain at email id :

[REDACTED]  
For Level 2 escalations please contact Melvin V at email id : [REDACTED]

From: Sachiva Gupta  
Sent: Friday, November 03, 2017 10:22 PM  
To: Collateral Admin-NY <[REDACTED]>  
Cc: Srikanta Gouda <[REDACTED]>; Abhijit Mukherjee <[REDACTED]>; ' [REDACTED] ' <[REDACTED]>; [REDACTED] <[REDACTED]>; Surendra Singh <[REDACTED]>; Nitin-X Singh <[REDACTED]>  
Subject: FW: New Derivatives account. [I]

Classification: For internal use only

Hi All,

Could you please add the below client to the DDR? Attached are the SACA and Pledge agreements. Please note there are two accounts for this client.

SOUTHERN FINANCIAL LLC

N4G025403

N4G026161

Kindly confirm once done.

Kind Regards,

{cid:image018.png@01D16466.59BF5C10}

Sachiva Gupta

Senior Analyst | Securities Operations - WM US

C00 Wealth Management Operations

DBOI Global Services Private Limited

A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -

SEZ, 302029 Jaipur, India

Tel. [REDACTED] Avaya- [REDACTED]

Fax [REDACTED]

Mobile + [REDACTED]

Email mailto:[REDACTED]

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