

Subject: RE: New Derivatives account. [I]
From: Sachiva Gupta <[REDACTED]>
Date: Wed, 17 Jan 2018 11:06:32 -0500
To: Paolo De-Leon <[REDACTED]>,
Abhijit Mukherjee <[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>

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

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. +1(212)250-2961 Avaya- 3382671
Fax +1(212)872-9711
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. +1(212) 454-1162
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

{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. +1 410 895-5858
Fax +1 410 970-6605
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



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

{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. +1 410 895-5858
Fax +1 410 970-6605
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:

. [REDACTED]
. [REDACTED]

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 # (201-593-4408)

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. +1(212) 454-1162
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

{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. +1 410 895-5858
Fax +1 410 970-6605
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

EFTA01398606

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

{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. +1 410 895-5858
Fax +1 410 970-6605
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. 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. +1(212)250-2415
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

EFTA01398609

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' <fx-
[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]
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: +1 212 250-3465

Mobile: +1 [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 <fx-

[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]>

EFTA01398611

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 <fx-[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

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

Srikanta Gouda
Process Supervisor

DBOI Global Services Private Limited

EFTA01398612

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 <fx-
[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

Srikanta,

Please advise Keith on below mail.

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 -

EFTA01398613

SEZ, 302029 Jaipur, India

Tel. +1(212)469-3280

Fax (201)575-4694

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 <fx-

[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

EFTA01398614

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 <fx-
[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

Hello Keith,

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

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. +1(212)469-3280
Fax (201)575-4694
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 <fx-[REDACTED]>; Debra Jasper <[REDACTED]>; Roxanne Scott <[REDACTED]>; Halina Laczny <halina.laczny@ab.com>; 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,

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

{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 <keith.buckholz@db.com>; Collateral Admin-NY
<[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 Keith,

Collateral Team has asked for this information to proceed further.

@ Collateral Team,

Please assist Keith on below request.

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. +1(212)469-3280
Fax (201)575-4694
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 <fx-
[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

EFTA01398618

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 <fx-[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

{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. +1(212)469-3280
Fax (201)575-4694
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]>
<[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

{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 +44 207 5410952

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]>
<[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

{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 +44 207 5410952

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]>; 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



Kindly confirm once done.

Kind Regards,

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

Sachiva Gupta

Senior Analyst | Securities Operations - WM US

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. +1(212)250-2961 Avaya- 3382671

Fax +1(212)872-9711

Mobile [REDACTED]

Email mailto:[REDACTED]

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