

Subject: RE: SF [I]
From: Xavier Avila <[REDACTED]>
Date: Fri, 02 Mar 2018 11:51:46 -0500
To: Jane Varley <[REDACTED]>,
GM ACO <[REDACTED]>,
Iain Macara <[REDACTED]>,
Rita Shteynberg <[REDACTED]>,
Jitan Patel <[REDACTED]>,
Mathew Negus <[REDACTED]>
Cc: Nina Tona <[REDACTED]>,
Alastair Mackinlay <[REDACTED]>,
Martin Zeman <[REDACTED]>,
Davide-A Sferrazza <[REDACTED]>,
Aziz Anwar <[REDACTED]>,
Tanushree Kirti <[REDACTED]>

Jane, I tried to call you but no luck.

We are still working on the docs to make sure SF is totally KYCed.

We also need to extend relationship to Credit Derivatives which we asked our Case Manager Rita to perform but she argued this client was CIB Red.

Now Monica/GM ACO below argues this is CIB Green, and is probably Green because us in KCP are ACO of the account and we have kept this client adopted.

Therefore, Rita given this is a Green CIB client, pls let's start the urgent adoption of SF to Credit Derivatives as we have a trade to execute, and also let us know what other documetns we need to get this client KYC compliant.

Jitan/Mat, this is KCP Americas biggest priority at this stage (after 03) so appreciate if you take that into consideration within the CM priority list.

Thanks and if anyone has any questions pls call me.

Xavier

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Xavier Avila
Managing Director | Key Clients Partners

Wealth Management Americas

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345 Park Avenue, New York, NY, 10154-0004

Office +1 212 454 2892

Mobile [REDACTED]
Email [REDACTED]

From: Jane Varley
Sent: Friday, March 02, 2018 11:04 AM
To: GM ACO <[REDACTED]>; Xavier Avila <[REDACTED]>; Iain Macara <[REDACTED]>; Rita Shteynberg <[REDACTED]>; Jitan Patel <[REDACTED]>; Mathew Negus <[REDACTED]>
Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay <[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Aziz Anwar <[REDACTED]>; Tanushree Kirti <[REDACTED]>
Subject: RE: SF [I]

+Aziz and Tanu

Hi Monika,

This was a WM US retain from the Offboarding Clearing House process, that currently reflects in the overall CIB file colour (not coverage colour). Hence green.

Nina – was NCA completed? We can't see it reflected in dbCAR (still appears delinquent) but I know that is part of the broader conversation that Julia

is having with Paul Chapman.

Thanks

Jane

From: Monika Valantiejuite On Behalf Of GM ACO

Sent: 02 March 2018 15:22

To: Xavier Avila <[REDACTED]>; Iain Macara <[REDACTED]>;

Rita Shteynberg <[REDACTED]>; Jitan Patel <[REDACTED]>;

Mathew Negus <[REDACTED]>; Jane Varley <[REDACTED]>

Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay

<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A

Sferrazza <[REDACTED]>

Subject: RE: SF [I]

Hi Xavier

The GB adoption location is Red across all business but this is CIB Green for the US adoption location – as one of the businesses has asked to retain this. @Jane please confirm which business asked to retain?

In these instances, the GM products will not be offboarded if another business has asked to retain and the KYC/ACO responsibility sits with that business.

However, please also be aware that this is a High Risk client which is KYC deficient and was last reviewed in 2015.

Please let me know if any other questions.

Kind regards,

{cid:image001.png@01D0EEF9.E65DD1C0}

Monika Valantiejute

GM Project Mercury

Deutsche Bank

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

Tel. + [REDACTED]

Email [REDACTED]

From: Xavier Avila

Sent: 02 March 2018 13:53

To: GM ACO <[REDACTED]>; Iain Macara <[REDACTED]>; Rita Shteynberg <[REDACTED]>; Jitan Patel <[REDACTED]>; Mathew Negus <[REDACTED]>

Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay

<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>

Subject: RE: SF [I]

Thanks Monica, did we hear anything back? The client is asking questions and we have no clear answers or timeframe to give him. Thanks

Xavier Avila
Managing Director
Deutsche Bank Securities
[REDACTED]

Office: +1 212 4542892

Mobile: [REDACTED]

From: GM ACO <[REDACTED]>

Date: Thursday, Mar 01, 2018, 15:09

To: Xavier Avila <[REDACTED]>, Iain Macara <[REDACTED]>, Rita Shteynberg <[REDACTED]>, Jitan Patel <[REDACTED]>, Mathew Negus <[REDACTED]>, GM ACO <[REDACTED]>

Cc: Nina Tona <[REDACTED]>, Alastair Mackinlay <[REDACTED]>, Martin Zeman <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>

Subject: RE: SF [I]

Classification: For internal use only

Hi Xavier

I've reached out to Central Mercury to find out the CIB colour - I will update as soon as I hear back.

Kind regards,

{cid:image001.png@01D0EEF9.E65DD1C0}

Monika Valantiejute

GM Project Mercury

Deutsche Bank

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

Tel. + [REDACTED]

Email [REDACTED]

From: Xavier Avila
Sent: 01 March 2018 19:25
To: Iain Macara <[REDACTED]>; Rita Shteynberg
<[REDACTED]>; Jitan Patel <[REDACTED]>; Mathew Negus
<[REDACTED]>; GM ACO <[REDACTED]>
Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay
<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: SF [I]

GM ACO, can you pls let us know what the issue is?

We have a client trying to execute a transaction.

Thanks

From: Iain Macara
Sent: Thursday, March 01, 2018 11:48 AM
To: Xavier Avila <[REDACTED]>; Rita Shteynberg
<[REDACTED]>; Jitan Patel <[REDACTED]>; Mathew Negus
<[REDACTED]>; GM ACO <[REDACTED]>

Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay
<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: RE: SF [I]

Gm ACO – can you liaise with central merc and establish the CIB colour on
the rhp below?

thx

From: Xavier Avila
Sent: 01 March 2018 16:08
To: Iain Macara <[REDACTED]>; Rita Shteynberg
<[REDACTED]>; Jitan Patel <[REDACTED]>; Mathew Negus
<[REDACTED]>
Cc: Nina Tona <[REDACTED]>; Alastair Mackinlay
<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A
Sferrazza <[REDACTED]>
Subject: SF

Ian, thanks for the call.

So Rita who is the Case Manager seems to suggest that she sees Southern
Financial Red and therefore we cannot extend it to Credit Derivatives, while
we think we should see this Green from a KCP perspective.

Bu you explain to me that the Red might be only when it comes to your ICG
world.

Can you pls clarify if this client is Red for everyone including KCP and if
so how do we turn it Green, as discussed this is an example of a KCP
Americas account that is ACOed by us, in this case myself.

Thanks

Xavi

From: Nina Tona
Sent: Thursday, March 01, 2018 11:00 AM
To: Xavier Avila <[REDACTED]>
Subject: SF

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Kind regards,

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

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