

Subject: RE: SF [I]  
From: Rita Shteynberg [REDACTED]  
Date: Mon, 05 Mar 2018 11:07:53 -0500  
To: Xavier Avila [REDACTED]  
Mathew Negus [REDACTED]  
Jitan Patel [REDACTED]  
Zack Bunimovich [REDACTED]  
Cc: Alastair Mackinlay [REDACTED]  
Martin Zeman [REDACTED]  
Davide-A Sferrazza [REDACTED]  
Mathew Negus [REDACTED]  
Nina Tona <[REDACTED]>

Classification: For internal use only

Including Zack who will be the case manager on this.

From: Xavier Avila  
Sent: Monday, March 05, 2018 10:59 AM  
To: Rita Shteynberg <[REDACTED]>; Mathew Negus  
[REDACTED]; Jitan Patel [REDACTED]  
Cc: Alastair Mackinlay [REDACTED]; Martin Zeman  
[REDACTED]; Davide-A Sferrazza [REDACTED]  
Mathew Negus [REDACTED]; Nina Tona <[REDACTED]>  
Subject: RE: SF [I]

Hi Rita/Mat, let us know what we need to extend SF to Credit Derivatives as the client is still live in one trade they want to execute.

Thanks

From: Rita Shteynberg  
Sent: Friday, March 02, 2018 12:41 PM  
To: Mathew Negus [REDACTED]; Nina Tona [REDACTED]; Jane  
Varley [REDACTED]; GM ACO [REDACTED]; Xavier Avila  
[REDACTED]; Iain Macara [REDACTED]; Jitan Patel  
[REDACTED]  
Cc: Alastair Mackinlay [REDACTED]; Martin Zeman  
[REDACTED]; Davide-A Sferrazza [REDACTED]; Aziz  
Anwar [REDACTED]; Tanushree Kirti [REDACTED]; Zack  
Bunimovich [REDACTED]  
Subject: RE: SF [I]

Thanks for the confirmation. We will proceed with the onboarding.

From: Mathew Negus  
Sent: Friday, March 02, 2018 12:34 PM  
To: Nina Tona [REDACTED]; Jane Varley [REDACTED]; GM ACO  
[REDACTED]; Xavier Avila [REDACTED]; Iain Macara  
[REDACTED]; Rita Shteynberg [REDACTED]; Jitan Patel  
[REDACTED]  
Cc: Alastair Mackinlay [REDACTED]; Martin Zeman  
[REDACTED]; Davide-A Sferrazza [REDACTED]; Aziz  
Anwar [REDACTED]; Tanushree Kirti [REDACTED]  
Subject: RE: SF [I]

I'll take this one for Jitan.

As CIB green please proceed with the NCA process and the inherent KYC update.

Thank you

-----  
Mathew Negus  
Director | ICG Business Management | [REDACTED]

From: Nina Tona  
Sent: Friday, March 02, 2018 12:22 PM

EFTA01406648

To: Jane Varley [REDACTED]; GM ACO [REDACTED]; Xavier Avila [REDACTED]; Iain Macara [REDACTED]; Rita Shteynberg [REDACTED]; Jitan Patel [REDACTED]; Mathew Negus [REDACTED]  
Cc: Alastair Mackinlay [REDACTED]; Martin Zeman [REDACTED]; Davide-A Sferrazza [REDACTED]; Aziz Anwar [REDACTED]; Tanushree Kirti [REDACTED]  
Subject: RE: SF [I]  
Importance: High

Classification: For internal use only

Jane – NCA is still in progress. Rita and her team are working on it. They stopped the NCA once they found out it was in red. Jitan will inform them now to complete the NCA.

@Jitan – Please inform Rita to continue with the NCA.

Thank you

Nina Tona

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]

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+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]

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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/AC0 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 Valantiejuite

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 <nina.tona@db.com>; 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  
xavier.avila@db.com  
[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]

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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

{cid:image001.png@01D3B17D.15561DF0}

Kind regards,

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Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

Deutsche Bank Wealth Management

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Jacksonville, Florida 32256

[REDACTED]

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