

Subject: FW: Southern Financial LLC [I]

From: Paolo De-Leon [REDACTED]

Date: Mon, 05 Mar 2018 16:17:11 -0500

To: Davide-A Sferrazza [REDACTED]

Hey man- can you put me in contact with the banker team or account opening team you worked with to obtain the docs for southern? Maybe he/she will have some insight on what SIC code is correct. Thx!

From: Sendhil-kumar K On Behalf Of CUSTOMERBUILD BLO

Sent: Monday, March 05, 2018 2:51 PM

To: Paolo De-Leon [REDACTED]; Abhijit Mukherjee

Cc: Keith Buckholz [REDACTED]

CRM-PWM Derivatives [REDACTED]

[REDACTED]; Collateral Admin-NY [REDACTED]

CUSTOMERBUILD BLO [REDACTED]

Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Paolo,

6700 SIC code is not available in LS2, please provide the alternative one.

Hi Abhijit,

Please confirm the customer profile for this request.

{cid:image001.png@01D3B490.E24E9F10}

Kind Regards,
Sendhil-kumar K

EFTA01408670

Operations Senior Analyst
DBOI Global Services Private Limited

[REDACTED]
[REDACTED]

-

From: Paolo De-Leon
Sent: Friday, March 02, 2018 2:13 PM
To: CUSTOMERBUILD BLO [REDACTED]; Abhijit Mukherjee
[REDACTED]
Cc: Keith Buckholz [REDACTED] CRM-PWM Derivatives [REDACTED]
[REDACTED]; Collateral Admin-NY <collateral_admin_ny@db.com>
Subject: RE: Southern Financial LLC [I]

Hello Sendhil,

Please see below.

{cid:image002.png@01D3B490.E24E9F10}

From: Sendhil-kumar K On Behalf Of CUSTOMERBUILD BLO
Sent: Friday, March 02, 2018 2:10 PM
To: Abhijit Mukherjee [REDACTED]
Cc: Keith Buckholz [REDACTED] CRM-PWM Derivatives [REDACTED]
[REDACTED] Paolo De-Leon [REDACTED] Collateral
Admin-NY [REDACTED] CUSTOMERBUILD BLO
Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Abhijit,

Please confirm the customer profile and SIC code for this request.

Kind Regards,
Sendhil-kumar K
Operations Senior Analyst
DBOI Global Services Private Limited
[REDACTED]

From: Abhijit Mukherjee
Sent: Thursday, March 01, 2018 5:48 PM
To: CUSTOMERBUILD BLO <[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>; CRM-PWM Derivatives <[REDACTED]>
<[REDACTED]>; Paolo De-Leon <[REDACTED]> Collateral
Admin-NY <[REDACTED]> Sendhil-kumar K <[REDACTED]>
[REDACTED]

Subject: RE: Southern Financial LLC [I]

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Hi Team,

Kindly build the below customer. Attached are the KYC docs. Please let me know if you need anything else.

Thanks.

Southern Financial LLC

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

[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: Paolo De-Leon
Sent: Tuesday, February 27, 2018 7:57 PM
To: Collateral Admin-NY [REDACTED]; Abhijit Mukherjee
[REDACTED]
Cc: Keith Buckholz [REDACTED]; CRM-PWM Derivatives [REDACTED]
[REDACTED]
Subject: Southern Financial LLC

Hello Abhijit and team,

Can you please add this client to the DDR? Attached are the SACA, Pledge Agreements, and other KYC / onboarding docs.

Please note that there are two accounts for this client: [REDACTED] and [REDACTED]

Thanks and regards,

EFTA01408673

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

