

Subject: RE: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\* [I]

From: Sagar-A Valecha <[REDACTED]>

Date: Fri, 13 Feb 2015 07:38:08 -0500

To: [REDACTED]  
[REDACTED]

Classification: For internal use only

Hi Jay/Sowmya,

After making a search with the entity name in db car we see the below address is reflecting as per the screen shot.

Kindly advise.

{cid:image011.png@01D047B7.FE29E490}

Thanks

From: Jay Lipman

Sent: 13 February 2015 17:51

To: Sowmya-D R; Nitesh Gupta

Cc: Sagar-A Valecha; corporate chasing; GCO Account-Opening; Prabhuling-C Kottalagi; Sanjay Mehta; Kumar Sambhav; Vahe Stepanian

Subject: RE: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*

Hi,

I need a response here urgently. Please respond ASAP.

From: Sowmya-D R  
Sent: Thursday, February 12, 2015 4:00 PM  
To: Nitesh Gupta  
Cc: Sagar-A Valecha; corporate chasing; GCO Account-Opening; Jay Lipman; Prabhuling-C Kottalagi; Sanjay Mehta; Kumar Sambhav  
Subject: Fw: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*

Classification: Public

Hi Nitesh,

Need your urgent attention on the below as client is expecting amended confirmation ASAP.

Thanks & Regards,

Soumya D R  
Derivative Documentation  
DBOI Global Services Pvt Ltd,

Phone: [REDACTED]

Email: [REDACTED]

Alternative contact Anil-S Kumar ( [REDACTED] ) Ph: [REDACTED]

Or Ambaji Mane ( [REDACTED] ) ph : + [REDACTED]

For any escalation please contact : [REDACTED]

Group ID : [REDACTED]

----- Forwarded by Sowmya-D R/db/dbcom on 02/13/2015 02:29 AM -----

{cid:image012.png@01D047B7.FE29E490}

From:

{cid:image013.png@01D047B7.FE29E490}

Sowmya-D R/db/dbcom

{cid:image012.png@01D047B7.FE29E490}

To:

{cid:image013.png@01D047B7.FE29E490}

Sagar-A Valecha/db/dbcom@DBC0EX,

{cid:image012.png@01D047B7.FE29E490}

Cc:

{cid:image013.png@01D047B7.FE29E490}  
corporate chasing/db/dbcom@DBAPAC, GC0 Account-Openin [REDACTED]  
[REDACTED]

{cid:image012.png@01D047B7.FE29E490}

Date:

{cid:image013.png@01D047B7.FE29E490}  
02/12/2015 10:39 PM

{cid:image012.png@01D047B7.FE29E490}

Subject:

{cid:image013.png@01D047B7.FE29E490}  
Re: Fw: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*

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Classification: Public

Hi Sagar,

The fund in question is - Southern Financial LLC - EDI # 127608  
Let me know if you need further details on this.

Thanks & Regards,

Soumya D R  
Derivative Documentation  
DBOI Global Services Pvt Ltd,

Phone: [REDACTED]

Email: [REDACTED]

Alternative contact Anil-S Kumar ( [REDACTED] ) Ph: [REDACTED]

Or Ambaji Mane ( [REDACTED] ) ph : + [REDACTED]  
For any escalation please contact : [REDACTED]  
Group ID : [REDACTED]

{Inactive hide details for Sagar-A Valecha---02/12/2015 10:36:01 PM---  
Classification: Public Hi Sowmya,}Sagar-A Valecha---02/12/2015 10:36:01 PM---  
Classification: Public Hi Sowmya,

{cid:image012.png@01D047B7.FE29E490}

From:

{cid:image013.png@01D047B7.FE29E490}  
Sagar-A Valecha/db/dbcom@DBC0EX

{cid:image012.png@01D047B7.FE29E490}

To:

{cid:image013.png@01D047B7.FE29E490}  
Sowmya-D R/db/dbcom@DBAPAC,

{cid:image012.png@01D047B7.FE29E490}

Cc:

{cid:image013.png@01D047B7.FE29E490}  
GCO Account-Opening/db/dbcom@DBEMEA, corporate chasing/db/dbcom@DBAPAC, Jay  
Lipman/db/dbcom, Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/db/dbcom

{cid:image012.png@01D047B7.FE29E490}

Date:

{cid:image013.png@01D047B7.FE29E490}  
02/12/2015 10:36 PM

{cid:image012.png@01D047B7.FE29E490}

Subject:

{cid:image013.png@01D047B7.FE29E490}  
Fw: \*\*\*Southern Financial LLC\*\*\* EDI - 127608 [I]\*\*sgr\*\*

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Classification: Public

Hi Sowmya,

After making a search in Delaware registry document we see the several entities.

Kindly confirm with the correct or full name so that we can help you with the current address mentioned in the registry doc.

{cid:image015.jpg@01D047B7.FE29E490}

{cid:image016.jpg@01D047B7.FE29E490}

Thanks

Kind regards,  
Sagar-A Valecha

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{cid:image017.jpg@01D047B7.FE29E490}

Sagar-A Valecha

DBOI Global Services Private Limited  
Global Business Services

[REDACTED]

{cid:image018.jpg@01D047B7.FE29E490}

Fw: \*\*\*Southern Financial LLC\*\*\* EDI - 127608 [I]

EFTA01409366

Sowmya-D R

to:

GCO Account-Opening

12/02/2015 01:08

Cc:

jay.lipman, prabhuling-c.kottalagi, sanjay.mehta, corporate chasing

Classification: For internal use only

Hi Team,

Fund - Southern Financial LLC has been created with Wilmington, Delaware, USA Domicile. Can you please provide us the "Registry Address proof" which was used to map this fund to Wilmington, Delaware, USA Domicile?

Thanks & Regards,

Soumya D R  
Derivative Documentation  
DBOI Global Services Pvt Ltd,  
Phone: [REDACTED]

EFTA01409367

Email: [REDACTED]  
Alternative contact Anil-S Kumar ( [REDACTED] ) Ph: [REDACTED]  
Or Ambaji Mane ( [REDACTED] ) ph : + [REDACTED]  
For any escalation please contact : [REDACTED]  
Group ID : [REDACTED]  
----- Forwarded by Sowmya-D R/db/dbcom on 02/12/2015 01:04 AM -----

From:

Vahe Stepanian/db/dbcom@DBCOEX

To:

Jay Lipman/db/dbcom, Prabhuling-C Kottalagi/db/dbcom,

Cc:

corporate chasing/db/dbcom@DBAPAC, Sowmya-D R/db/dbcom@DBAPAC, Sanjay Mehta/-db/dbcom, Adrian De-Nicola/db/dbcom, Daniel Sabba/db/dbcom

Date:

02/11/2015 11:40 PM

Subject:

RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]

Classification: For internal use only  
Prabhuling- when do you expect this to be done?

From: Jay Lipman

Sent: Wednesday, February 11, 2015 10:27 AM

To: Prabhuling-C Kottalagi

Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola; Daniel Sabba; Vahe Stepanian

Subject: RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]

Hi Prabhuling,

Can you assist us in making the following changes to this confirm, as we noticed a few issues.

- Please remove the client's personal name "Jeff Epstein" in the  
To: Client line  
- Name and address of Southern Financial should be consistent on  
both pages:

o On page 1, the client name/address is Southern Financial LLC,  
Wilmington. On page 2, the name/address is Southern Financial LLC, 6100 Red  
Hook Quarter, ST Thomas, VI 00802  
o Please ensure that the latter name/address is used: Southern Financial  
LLC, 6100 Red Hook Quarter, ST Thomas, VI 00802

Please reach out with any questions. Thank you.

Jay Lipman  
Key Client Partners  
Deutsche Bank Securities Inc

[REDACTED]  
[REDACTED]  
[REDACTED]  
From: Prabhuling-C Kottalagi  
Sent: Monday, February 09, 2015 4:58 PM  
To: Vahe Stepanian; Daniel Sabba  
Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola; Jay  
Lipman; Mark Whyman  
Subject: RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]  
Classification: For internal use only  
Hi Vahe/Daniel,  
Please find the attached confirmation.

Note: Attached doc is password protected and the password is SFL987

Regards

{cid:image017.jpg@01D047B7.FE29E490}  
Prabhuling-C Kottalagi

DBOI Global Services Private Limited  
Derivative Documentation

[REDACTED]  
[REDACTED]  
[REDACTED]  
For any escalation please contact below :  
First level escalation:sowmya-d.r@db.com +44 207 7795441  
Second level escalation :sanjay.mehta@db.com +1(904)527-6650  
{cid:image019.jpg@01D047B7.FE29E490}

From: Mark Whyman  
Sent: Tuesday, February 10, 2015 3:22 AM  
To: Vahe Stepanian; Daniel Sabba  
Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola;  
Prabhuling-C Kottalagi; Jay Lipman  
Subject: RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]

Classification: For internal use only

Prabhuling,

Is it possible to send this to Vahe Stepanian, Daniel Sabba and Jay Lipman (all internal)?

Thanks,

Mark

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{cid:image017.jpg@01D047B7.FE29E490}

Mark Whyman

Vice President | Global Markets

Deutsche Bank Securities, Inc.

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

{cid:image020.jpg@01D047B7.FE29E490}

Disclaimer: <https://ederivatives.db.com/static/disclaimer.html>

From: Vahe Stepanian

Sent: Monday, February 09, 2015 4:49 PM

To: Mark Whyman; Daniel Sabba

Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola;

Prabhuling-C Kottalagi; Jay Lipman

Subject: RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]

Classification: For internal use only

Hi Mark – if possible, please send us the TWTR confirms. Would be helpful if you could please include me, Daniel Sabba, and Jay Lipman (CC'ed).

This is so that we can check the confirm for accuracy, and keep track of them.

Cheers,

Vahe

From: Mark Whyman

Sent: Monday, February 09, 2015 4:47 PM

To: Vahe Stepanian; Daniel Sabba

Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola;

Prabhuling-C Kottalagi

Subject: RE: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]

Classification: For internal use only

Daniel / Vahe,

Can you confirm that the option confirmation for TWTR should be sent to

[REDACTED]?

Thanks,

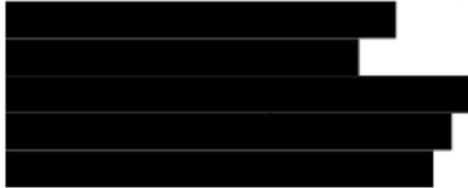
Mark

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{cid:image017.jpg@01D047B7.FE29E490}

Mark Whyman

Vice President | Global Markets  
Deutsche Bank Securities, Inc.



{cid:image021.jpg@01D047B7.FE29E490}

Disclaimer: <https://ederivatives.db.com/static/disclaimer.html>

From: Prabhuling-C Kottalagi  
Sent: Monday, February 09, 2015 4:07 PM  
To: Mark Whyman  
Cc: corporate chasing; Sowmya-D R; Sanjay Mehta; Adrian De-Nicola  
Subject: Need your assistance\*\*\*Southern Financial LLC\*\*\* [I]  
Classification: For internal use only

Hi Mark,

We have one outstanding deal with Southern Financial LLC traded on Jan 27,2015 with Twitter Inc as underlying. The client contact which is updated in the our system is [REDACTED] which has gmail as its domain. Please advise ,can we dispatch the doc for countersign to above mentioned contact, else please share the client contact details. Please let me know if you need any additional information. Many thanks in advance.

Counterparty Name

Trade Id

Product

trade\_date

underlyingDescription

trader name

Marketer

Southern Financial LLC

NY-NY-0C-618176-1-0-0

Generic OTC

27-Jan-15

Twitter Inc

Michael-C Krueger

Mark Whyman NY NEW

Regards

{cid:image017.jpg@01D047B7.FE29E490}

Prabhuling-C Kottalagi

DBOI Global Services Private Limited

Derivative Documentation

[REDACTED]

For any escalation please contact below :

First level escalation:sowmya-d.r@db.com +44 207 7795441

Second level escalation :sanjay.mehta@db.com +1(904)527-6650

{cid:image018.jpg@01D047B7.FE29E490}