

Subject: RE: **VERY URGENT***Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

From: Vahe Stepanian <[REDACTED]>

Date: Wed, 18 Feb 2015 14:47:49 -0500

To: [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Daniel Sabba <[REDACTED]>

Classification: For internal use only

Perfect. We will send out all three to the client tomorrow.

From: Prabhuling-C Kottalagi

Sent: Wednesday, February 18, 2015 2:47 PM

To: Vahe Stepanian

Cc: Sanjay Mehta; Sowmya-D R; Kumar Sambhav; Daniel Sabba

Subject: RE: **VERY URGENT***Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Vahe,

I will send all three confirmations by tomorrow.

Regards

{cid:1__=EABBF747DFC5E8AB8f9e8a93df9386909@db.com}

Prabhuling-C Kottalagi

DBOI Global Services Private Limited

Derivative Documentation

Velankani Tech Park, Bangalore, India

Tel. [REDACTED]
[REDACTED]

For any escalation please contact below :

First level escalation [REDACTED]

Second level escalation : [REDACTED]

{cid:2__=EABBF747DFC5E8AB8f9e8a93df9386909@db.com}

From: Vahe Stepanian

Sent: Thursday, February 19, 2015 12:20 AM

To: Prabhuling-C Kottalagi

Cc: Sanjay Mehta; Sowmya-D R; Kumar Sambhav; Daniel Sabba

Subject: RE: **VERY URGENT**Re: FW: **Southern Financial LLC** EDI - 127608**sgr** [I]

Classification: For internal use only

When will the last confirm be generated? Can you please re-send all three when available?

We will send to the client all at once.

From: Prabhuling-C Kottalagi

Sent: Wednesday, February 18, 2015 1:47 PM

To: Vahe Stepanian

Cc: Sanjay Mehta; Sowmya-D R; Kumar Sambhav

Subject: RE: **VERY URGENT**Re: FW: **Southern Financial LLC** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Vahe,

EFTA01409468

We have totally three trades of Southern Financial LLC ,618753-4-0-0, 618176-1-0-0 and EUS612676-2-0-0.

618753-4-0-0 and EUS612676-2-0-0 are in drafting process still. Attaching the revised confirmation for 618176-1-0-0.

Regards_____

{cid:1__=EABBF747DFC5E8AB8f9e8a93df9386909@db.com}

Prabhuling-C Kottalagi

DBOI Global Services Private Limited
Derivative Documentation
Velankani Tech Park, Bangalore, India
Tel. [REDACTED]
[REDACTED]

For any escalation please contact below :

First level escalation: [REDACTED]
Second level escalation : [REDACTED]

{cid:2__=EABBF747DFC5E8AB8f9e8a93df9386909@db.com}

From: Vahe Stepanian
Sent: Wednesday, February 18, 2015 11:56 PM
To: Kumar Sambhav; Prabhuling-C Kottalagi
Cc: Sanjay Mehta; Sowmya-D R
Subject: RE: ****VERY URGENT****Re: FW: *****Southern Financial LLC***** EDI - 127608****sgr**** [I]

Classification: For internal use only

Thanks Kumar.

Prabhu - please let us know. We will hold onto the confirm until we hear from you.

From: Kumar Sambhav
Sent: Wednesday, February 18, 2015 1:15 PM
To: Prabhuling-C Kottalagi
Cc: Vahe Stepanian; Sanjay Mehta; Sowmya-D R
Subject: Fw: **VERY URGENT**Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Prabhu,

Can you please check and get back to Vahe.

Thanks

Kind regards,
Kumar Sambhav

{cid:image001.gif@01D04B7E.7BE322B0}

Kumar Sambhav
Associate | Derivative Documentation

DBOI Global Services Private Limited
Group Technology & Operations

[REDACTED]

Alternative contact : Sarath MN .

[REDACTED]

Escalations: Gajanan Desai

[REDACTED]

{cid:image002.gif@01D04B7E.7BE322B0}

----- Forwarded by Kumar Sambhav/db/dbcom on 02/18/2015 11:44 PM -----

{cid:image003.png@01D04B7E.7BE322B0}

From:

{cid:image004.png@01D04B7E.7BE322B0}
Vahe Stepanian/db/dbcom@DBC0EX

{cid:image003.png@01D04B7E.7BE322B0}

To:

{cid:image004.png@01D04B7E.7BE322B0}
Kumar Sambhav/db/dbcom@DBAPAC,

{cid:image003.png@01D04B7E.7BE322B0}

Cc:

{cid:image004.png@01D04B7E.7BE322B0}
Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/db/dbcom, Sowmya-D R/db/-
dbcom@DBAPAC

{cid:image003.png@01D04B7E.7BE322B0}

Date:

{cid:image004.png@01D04B7E.7BE322B0}
02/18/2015 10:36 PM

{cid:image003.png@01D04B7E.7BE322B0}

Subject:

{cid:image004.png@01D04B7E.7BE322B0}
RE: ****VERY URGENT****Re: FW: *****Southern Financial LLC*** EDI - 127608**sgr****
[I]

Classification: For internal use only

Kumar - before I send to the client, can you please confirm this is the only outstanding paper confirm for this client?

If not, can you please send over any other paper confirms so that I can send them altogether to the client?

Thank you,
Vahe

From: Kumar Sambhav

Sent: Wednesday, February 18, 2015 11:26 AM

To: Vahe Stepanian

Cc: Prabhuling-C Kottalagi; Sanjay Mehta; Sowmya-D R

Subject: RE: **VERY URGENT**Re: FW: **Southern Financial LLC** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Vahe,

As discussed please find the attached copy of DB doc .

(See attached file: 618176F.pdf)

Kind regards,
Kumar Sambhav

{cid:image001.gif@01D04B73.32E1DE90}

Kumar Sambhav
Associate | Derivative Documentation

DBOI Global Services Private Limited
Group Technology & Operations

[REDACTED]
[REDACTED]
[REDACTED]

Alternative contact : Sarath MN .

Escalations: Gajanan Desai

{cid:image002.gif@01D04B73.32E1DE90}

{Inactive hide details for Vahe Stepanian---02/18/2015 07:40:43 PM---
Classification: For internal use only Hi Kumar – the clien}Vahe
Stepanian---02/18/2015 07:40:43 PM---Classification: For internal use only
Hi Kumar – the client is “Southern Financial LLC”, we cannot send the
confirm with an

{cid:image004.png@01D04B73.32E1DE90}

From:

{cid:image005.png@01D04B73.32E1DE90}
Vahe Stepanian/db/dbcom@DBC0EX

{cid:image004.png@01D04B73.32E1DE90}

To:

{cid:image005.png@01D04B73.32E1DE90}
Kumar Sambhav/db/dbcom@DBAPAC,

{cid:image004.png@01D04B73.32E1DE90}

Cc:

{cid:image005.png@01D04B73.32E1DE90}
Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/db/dbcom, Sowmya-D R/db/-
dbcom@DBAPAC

{cid:image004.png@01D04B73.32E1DE90}

Date:

{cid:image005.png@01D04B73.32E1DE90}
02/18/2015 07:40 PM

{cid:image004.png@01D04B73.32E1DE90}

Subject:

{cid:image005.png@01D04B73.32E1DE90}

RE: **VERY URGENT**Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr**
[I]

Classification: For internal use only

Hi Kumar – the client is “Southern Financial LLC”, we cannot send the confirm with an incorrect client name.

Happy to chat on OCS. Thanks.

From: Kumar Sambhav

Sent: Wednesday, February 18, 2015 9:05 AM

To: Vahe Stepanian

Cc: Jay Lipman; Prabhuling-C Kottalagi; Sanjay Mehta; Sowmya-D R

Subject: RE: **VERY URGENT**Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Vahe,

Please let me know once you are free, Need to discuss on the below issue.

Kind regards,

Kumar Sambhav

{cid:image001.gif@01D04B5A.B3EBCFA0}

EFTA01409474

Kumar Sambhav
Associate | Derivative Documentation

DBOI Global Services Private Limited
Group Technology & Operations

[REDACTED]

[REDACTED]

Escalations: Gajanan Desai

[REDACTED]

{cid:image002.gif@01D04B5A.B3EBCFA0}

{Inactive hide details for Vahe Stepanian---02/18/2015 05:08:30 AM---
Classification: For internal use only Sowmya – please remo}Vahe
Stepanian---02/18/2015 05:08:30 AM---Classification: For internal use only
Sowmya – please remove the client’s name from the first page. His name is
incorrectly r

{cid:image004.png@01D04B5A.B3EBCFA0}

From:

{cid:image005.png@01D04B5A.B3EBCFA0}
Vahe Stepanian/db/dbcom@DBC0EX

{cid:image004.png@01D04B5A.B3EBCFA0}

To:

{cid:image005.png@01D04B5A.B3EBCFA0}
Sowmya-D R/db/dbcom@DBAPAC, Jay Lipman/db/dbcom,

{cid:image004.png@01D04B5A.B3EBCFA0}

Cc:

{cid:image005.png@01D04B5A.B3EBCFA0}
Kumar Sambhav/db/dbcom@DBAPAC, Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/-
db/dbcom

{cid:image004.png@01D04B5A.B3EBCFA0}

Date:

{cid:image005.png@01D04B5A.B3EBCFA0}
02/18/2015 05:08 AM

{cid:image004.png@01D04B5A.B3EBCFA0}

Subject:

{cid:image005.png@01D04B5A.B3EBCFA0}
RE: **VERY URGENT***Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr**
[I]

Classification: For internal use only
Sowmya – please remove the client’s name from the first page. His name is incorrectly reflected as “Jeff Epstein” .
The confirm should be addressed to “Southern Financial LLC”, which should be included on page 1 (not “Jeff Epstein”).

Thank you,
Vahe

From: Sowmya-D R
Sent: Friday, February 13, 2015 3:18 PM
To: Jay Lipman
Cc: Kumar Sambhav; Prabhuling-C Kottalagi; Sanjay Mehta; Vahe Stepanian
Subject: RE: **VERY URGENT***Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Jay,

Please find revised doc attached, Let me know if you need further changes to doc?

(See attached file: 618176.pdf)

Thanks & Regards,

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

Alternative contact Anil-S Kumar ([REDACTED]

Or Ambaji Mane ([REDACTED]

For any escalation please contact : [REDACTED]

Group ID : [REDACTED]

{Inactive hide details for Jay Lipman---02/13/2015 11:25:38 PM---Hi,}Jay
Lipman---02/13/2015 11:25:38 PM---Hi,

{cid:image002.png@01D04AE0.D77A7180}

From:

{cid:image003.png@01D04AE0.D77A7180}
Jay Lipman/db/dbcom@DBC0EX

{cid:image002.png@01D04AE0.D77A7180}

To:

{cid:image003.png@01D04AE0.D77A7180}
Sowmya-D R/db/dbcom@DBAPAC, Sagar-A Valecha/db/dbcom, ODC-Equities Account-
Maintenance/db/dbcom@DBEMEA,

{cid:image002.png@01D04AE0.D77A7180}

Cc:

{cid:image003.png@01D04AE0.D77A7180}
GC0 Account-Opening/db/dbcom@DBEMEA, Kumar Sambhav/db/dbcom@DBAPAC, Nitesh
Gupta/db/dbcom, Prabhuling-C Kottalagi/db/dbcom, Sagar-A Valecha/db/dbcom,
Sanjay Mehta/db/dbcom, Smita-K Hegde/ext/dbcom@DBEMEA, Vahe Stepanian/db/-

dbcom

{cid:image002.png@01D04AE0.D77A7180}

Date:

{cid:image003.png@01D04AE0.D77A7180}
02/13/2015 11:25 PM

{cid:image002.png@01D04AE0.D77A7180}

Subject:

{cid:image003.png@01D04AE0.D77A7180}
RE: **VERY URGENT**Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr**
[I]

Hi,

Has this been done? We really need to get this out to the client in the next hour. Thanks.

Jay Lipman
Key Client Partners
Deutsche Bank Securities Inc

[REDACTED]
[REDACTED]
[REDACTED]

From: Sowmya-D R
Sent: Friday, February 13, 2015 9:49 AM
To: Sagar-A Valecha; ODC-Equities Account-Maintenance
Cc: GCO Account-Opening; Jay Lipman; Kumar Sambhav; Nitesh Gupta; Prabhuling-C Kottalagi; Sagar-A Valecha; Sanjay Mehta; Smita-K Hegde; Vahe Stepanian
Subject: **VERY URGENT**Re: FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi ODC,

Please change the Domicile of the fund with EDI #127608 to "Virgin Island" as it reflects in DB CAR. Please find s/s below.

Kindly treat this as very URGENT issue as client needs the corrected doc in next 2 hours.

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

Thanks & Regards,

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

Alternative contact Anil-S Kumar ([REDACTED])
Or Ambaji Mane ([REDACTED])
For any escalation please contact : [REDACTED]
Group ID : [REDACTED]

{Inactive hide details for Sagar-A Valecha---02/13/2015 08:16:37 PM---
Classification: For internal use only Hi ODC/Smita,}Sagar-A
Valecha---02/13/2015 08:16:37 PM---Classification: For internal use only Hi
ODC/Smita,

{cid:image005.jpg@01D04AE0.D77A7180}

From:

{cid:image006.jpg@01D04AE0.D77A7180}
Sagar-A Valecha/db/dbcom@DBC0EX

{cid:image005.jpg@01D04AE0.D77A7180}

To:

{cid:image006.jpg@01D04AE0.D77A7180}
ODC-Equities Account-Maintenance/db/dbcom@DBEMEA, Smita-K Hegde/ext/-
dbcom@DBEMEA,

{cid:image005.jpg@01D04AE0.D77A7180}

Cc:

{cid:image006.jpg@01D04AE0.D77A7180}
Jay Lipman/db/dbcom, Sowmya-D R/db/dbcom@DBAPAC, GCO Account-Opening/db/-
dbcom@DBEMEA, Kumar Sambhav/db/dbcom@DBAPAC, Nitesh Gupta/db/dbcom,
Prabhuling-C Kottalagi/db/dbcom, Sagar-A Valecha/db/dbcom, Sanjay Mehta/db/-
dbcom, Vahe Stepanian/db/dbcom

{cid:image005.jpg@01D04AE0.D77A7180}

Date:

{cid:image006.jpg@01D04AE0.D77A7180}
02/13/2015 08:16 PM

{cid:image005.jpg@01D04AE0.D77A7180}

Subject:

{cid:image006.jpg@01D04AE0.D77A7180}
FW: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only
Hi ODC/Smita,

Please do the needful in downstream system.

Thanks

From: Sowmya-D R
Sent: 13 February 2015 20:11
To: Jay Lipman
Cc: corporate chasing; GCO Account-Opening; Kumar Sambhav; Nitesh Gupta; Prabhuling-C Kottalagi; Sagar-A Valecha; Sanjay Mehta; Vahe Stepanian
Subject: RE: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Classification: For internal use only

Hi Sagar,

Can the EDI be amended to reflect "Virgin Island" then?

{cid:1__=EABBF778DFC301638f9e8a93df9386909@db.com}

Hi Jay,

We cannot re-create the doc until our static is fixed.

Thanks & Regards,

Soumya D R
Derivative Documentation
DBOI Global Services Pvt Ltd,

[REDACTED]
Alternative contact Anil-S Kumar ([REDACTED]
Or Ambaji Mane ([REDACTED]
For any escalation please contact : [REDACTED]
Group ID : [REDACTED]

{Inactive hide details for Jay Lipman---02/13/2015 07:03:50 PM---Hi Sagar,}-
Jay Lipman---02/13/2015 07:03:50 PM---Hi Sagar,

{cid:image001.png@01D047C9.EE2ADF10}

From:

{cid:image002.png@01D047C9.EE2ADF10}
Jay Lipman/db/dbcom@DBC0EX

{cid:image001.png@01D047C9.EE2ADF10}

To:

{cid:image002.png@01D047C9.EE2ADF10}
Sagar-A Valecha/db/dbcom, Sowmya-D R/db/dbcom@DBAPAC,

{cid:image001.png@01D047C9.EE2ADF10}

Cc:

{cid:image002.png@01D047C9.EE2ADF10}
corporate chasing/db/dbcom@DBAPAC, GC0 Account-Opening/db/dbcom@DBEMEA,
Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/db/dbcom, Kumar Sambhav/db/-
dbcom@DBAPAC, Vahe Stepanian/db/dbcom, Nitesh Gupta/db/dbcom

{cid:image001.png@01D047C9.EE2ADF10}

Date:

{cid:image002.png@01D047C9.EE2ADF10}
02/13/2015 07:03 PM

{cid:image001.png@01D047C9.EE2ADF10}

Subject:

{cid:image002.png@01D047C9.EE2ADF10}
RE: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

Hi Sagar,

Thank you for confirming.

Sowmya,

Please make the appropriate changes to the confirm so that this address is reflected on both page one and page two. Thank you.

From: Sagar-A Valecha
Sent: Friday, February 13, 2015 7:38 AM
To: Jay Lipman; Sowmya-D R
Cc: corporate chasing; GCO Account-Opening; Prabhuling-C Kottalagi; Sanjay Mehta; Kumar Sambhav; Vahe Stepanian; Nitesh Gupta
Subject: RE: ***Southern Financial LLC*** EDI - 127608**sgr** [I]

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]
[REDACTED]

Alternative contact Anil-S Kumar ([REDACTED]

Or Ambaji Mane ([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-Opening/db/dbcom@DBEMEA,
jay.lipman@db.com, prabhuling-c.kottalagi@db.com, sanjay.mehta@db.com

{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**

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]

Alternative contact Anil-S Kumar ([REDACTED])
Or Ambaji Mane ([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}
GC0 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**

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

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

Sagar-A Valecha

DBOI Global Services Private Limited
Global Business Services
A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City -
SEZ, 302029 Jaipur, India

[Redacted]

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

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

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]
[REDACTED]

Alternative contact Anil-S Kumar ([REDACTED]

Or Ambaji Mane ([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?

EFTA01409490

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
Velankani Tech Park, Bangalore, India
Tel. [REDACTED]
[REDACTED]

For any escalation please contact below :

First level escalation [REDACTED]
Second level escalation : [REDACTED]
{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

{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

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

Mark Whyman
Vice President | Global Markets
Deutsche Bank Securities, Inc.
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

{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-OC-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
Velankani Tech Park, Bangalore, India
Tel. [REDACTED]
[REDACTED]

For any escalation please contact below :

First level escalation: [REDACTED]

Second level escalation : [REDACTED]

[attachment "618176.pdf" deleted by Kumar Sambhav/db/dbcom]

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