

Subject: RE: ***Southern Financial LLC*** EDI - 127608**sgr** [I]
From: Jay Lipman <[REDACTED]>
Date: Fri, 13 Feb 2015 08:33:24 -0500
To: Sagar-A Valecha <[REDACTED]>,
Sowmya-D R <[REDACTED]>
Cc: corporate chasing <[REDACTED]>,
GCO Account-Opening <[REDACTED]>,
Prabhuling-C Kottalagi <[REDACTED]>,
Sanjay Mehta <[REDACTED]>,
Kumar Sambhav <[REDACTED]>,
Vahe Stepanian <[REDACTED]>,
Nitesh Gupta <[REDACTED]>

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]

Email: [REDACTED]

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

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

For any escalation please contact : [REDACTED] Ph: [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, GCO Account-Opening/db/dbcom@DBEMEA,
[REDACTED], [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**

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] Ph: [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**

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
Tel. [REDACTED]
Mobile + [REDACTED]
Email [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]

Email: [REDACTED]

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

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

For any escalation please contact : [REDACTED] Ph: [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/-

EFTA01409724

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
Velankani Tech Park, Bangalore, India

For any escalation please contact below :

First level escalation

Second level escalation :

{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.

60 Wall St, 4th Floor

New York, NY, 10005

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

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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.
60 Wall St, 4th Floor
New York, NY, 10005

{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



Prabhuling-C Kottalagi

DBOI Global Services Private Limited
Derivative Documentation
Velankani Tech Park, Bangalore, India

For any escalation please contact below :
First level escalation:sowmya-d.r@db.com +44 207 7795441

Second level escalation : [REDACTED] [REDACTED]
{cid:image018.jpg@01D047B7.FE29E490}