

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

From: ODC-Equities Account-Maintenance <odc-equities.account-maintenance@db.com>

Date: Fri, 13 Feb 2015 13:08:11 -0500

To: Sowmya-D R <[REDACTED]>

Cc: GCO Account-Opening <[REDACTED]>, [REDACTED],

Kumar Sambhav <[REDACTED]>, [REDACTED],

ODC-Equities Account-Maintenance [REDACTED]

Sagar-A Valecha <[REDACTED]>, [REDACTED], [REDACTED]

Classification: For internal use only

Hi Sanjay,

As discussed,

We have updated the Domicile of the EDI #127608 to "Virgin Island British"

Kindly confirm if any changes required.

Regards,

Client Static Group  
GT0

[REDACTED]

Group Inbox:

[REDACTED]  
[REDACTED]

Escalation Points:

- 1.Smita Hegde (Lead) + [REDACTED]
- 2.Suhrid Pathrore (Manager)

[REDACTED]

\*\*\*\*\*  
\*\*\*\*\*

Feedback / Escalations:

Birender Singh  
Email- birender-thakur.singh@db.com

This email is sent to you by Tata Consultancy Services on behalf of Deutsche Bank.

Diese email wurde Ihnen von Tata Consultancy Services im Auftrag der Deutschen Bank gesendet

\*\*\*\*\*  
\*\*\*\*\*

{Inactive hide details for Sowmya-D R--13/02/2015 20:19:32--  
Classification: For internal use only Hi ODC, Please change the Do}Sowmya-D R--13/02/2015 20:19:32--Classification: For internal use only Hi ODC, Please change the Domicile of the fund with EDI #12760

From:

Sowmya-D R/db/[REDACTED]

To:

Sagar-A Valecha/db/[REDACTED], ODC-Equities Account-Maintenance/db/[REDACTED],

Cc:

GC0 Account-Opening/db/[REDACTED], [REDACTED], Kumar Sambhav/db/[REDACTED], [REDACTED], [REDACTED], [REDACTED], [REDACTED], [REDACTED], [REDACTED], Smita-K Hegde/ext/[REDACTED], [REDACTED]

Date:

13/02/2015 20:19

Subject:

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

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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]

Alternative contact Anil-S Kumar ( [REDACTED]

Or Ambaji Mane ( [REDACTED]

For any escalation please contact : [REDACTED] Ph: [REDACTED]  
[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,

From:

Sagar-A Valecha/db/[REDACTED]

To:

ODC-Equities Account-Maintenance/db/[REDACTED], Smita-K Hegde/ext/-  
[REDACTED],

Cc:

Jay Lipman/db/dbcom, Sowmya-D R/db/[REDACTED], GCO Account-Opening/db/-  
[REDACTED], Kumar Sambhav/db/[REDACTED], Nitesh Gupta/db/dbcom,  
Prabhuling-C Kottalagi/db/dbcom, Sagar-A Valecha/db/dbcom, Sanjay Mehta/db/-  
dbcom, Vahe Stepanian/db/dbcom

Date:

02/13/2015 08:16 PM

Subject:

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

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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; GC0 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,  
Phone: [REDACTED]  
Email: [REDACTED]

Alternative contact Anil-S Kumar ( [REDACTED]

Or Ambaji Mane ( [REDACTED]

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

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

{cid:image002.png@01D047C9.EE2ADF10}

Sagar-A Valecha/db/dbcom, Sowmya-D R/db/[REDACTED],

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

{cid:image002.png@01D047C9.EE2ADF10}

corporate chasing/db/[REDACTED], GC0 Account-Opening/db/[REDACTED],  
Prabhuling-C Kottalagi/db/dbcom, Sanjay Mehta/db/dbcom, Kumar Sambhav/db/-  
[REDACTED], 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]

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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; GC0 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; GC0 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; GC0 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])  
Or Ambaji Mane ([REDACTED])  
For any escalation please contact : [REDACTED] Ph: [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/[REDACTED],  
{cid:image012.png@01D047B7.FE29E490} Cc:  
{cid:image013.png@01D047B7.FE29E490}  
corporate chasing/db/[REDACTED], GC0 Account-Opening/db/[REDACTED],  
[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\*\*

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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])  
Or Ambaji Mane ([REDACTED])  
For any escalation please contact : [REDACTED] Ph: [REDACTED]  
[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/[REDACTED]  
{cid:image012.png@01D047B7.FE29E490} To:  
{cid:image013.png@01D047B7.FE29E490}  
Sowmya-D R/db/[REDACTED],  
{cid:image012.png@01D047B7.FE29E490} Cc:  
{cid:image013.png@01D047B7.FE29E490}  
GC0 Account-Opening/db/[REDACTED], corporate chasing/db/[REDACTED], 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

A-1 & A-2, Evolve - Mahindra Technology Park, Inside Mahindra World City - SEZ, 302029 Jaipur, India

Tel. +44(207)3383449

Mobile +91 9571605616

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]

Or Ambaji Mane ( [REDACTED]

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

----- Forwarded by Sowmya-D R/db/dbcom on 02/12/2015 01:04 AM -----

From:

Vahe Stepanian/db/[REDACTED]

To:

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

Cc:

corporate chasing/db/[REDACTED], Sowmya-D R/db/[REDACTED], 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]

EFTA01409911

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  
[REDACTED]

Email [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.

60 Wall St, 4th Floor

New York, NY, 10005

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

  
Email 

For any escalation please contact below :

First level escalation 

Second level escalation :  

