

Subject: RE: ***Southern Financial LLC*** EDI - 127608**sgr** [I]
From: Sowmya-D R <[REDACTED]>
Date: Fri, 13 Feb 2015 09:40:57 -0500
To: Jay Lipman <[REDACTED]>
Cc: corporate chasing <corporate.chasing@db.com>,
GCO Account-Opening <gco.account-opening@db.com>,
Kumar Sambhav <[REDACTED]>,
[REDACTED]
[REDACTED]

Classification: For internal use only

Hi Sagar,

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

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: +44(207)7795441
Email: [REDACTED]

Alternative contact Anil-S Kumar ([REDACTED] Ph: [REDACTED]
Or Ambaji Mane ([REDACTED]
For any escalation please contact : [REDACTED] Ph: +1 [REDACTED]
Group ID : corporate.chasing@db.com

{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,

From:

Jay Lipman/db/dbcom@DBC0EX

To:

Sagar-A Valecha/db/dbcom, Sowmya-D R/db/dbcom@DBAPAC,

Cc:

corporate chasing/db/dbcom@DBAPAC, GCO 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

Date:

02/13/2015 07:03 PM

Subject:

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; 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: +44(207)7795441
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 : corporate.chasing@db.com

----- 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,
[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: +44(207)7795441

Email: [REDACTED]

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

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

For any escalation please contact : [REDACTED]

Group ID : corporate.chasing@db.com

{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

Tel. +44(207)3383449

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: +44(207)7795441

Email: [REDACTED]

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

Or Ambaji Mane (ambaji@db.com) ph : + [REDACTED]

For any escalation please contact : [REDACTED] : +1([REDACTED])

Group ID : corporate.chasing@db.com

----- 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

EFTA01410419

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

Tel. +1 212 454-0039

Fax +1 646 257-3131

Email [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

EFTA01410420

Derivative Documentation
Velankani Tech Park, Bangalore, India
Tel. +44 20 777-96912
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
E-mail [REDACTED]
Tel +1(212) 250-4940
E-fax +1(732) 578-2641
{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.

60 Wall St, 4th Floor

New York, NY, 10005

E-mail [REDACTED]

Tel +1(212) 250-4940

E-fax +1(732) 578-2641

{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. +44 20 777-96912
Email [REDACTED]

For any escalation please contact below :

First level escalation: [REDACTED]

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