

Amber Davis

From:

Xavier Avila

Sent:

To:

Cc:

Subject:

Thursday, November 16, 2017 10:31 AM

Nina Tona; Martin Zeman

Alastair Mackinlay; Mathew Negus; Joshua Shoshan; Davide-A Sferrazza

RE: Southern Financial LLC [I]

Approved

Davide is an expert of filling BSFs.

Let's keep this account ipen in GM.

Thanks

From: Nina Tona <[REDACTED]>

Date: Thursday, Nov 16, 2017, 09:35

To: Martin Zeman <[REDACTED]>, Xavier Avila <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>, Mathew Negus

<[REDACTED]>

Subject: RE: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin and Xavi,

Please advise on the below, we have 6 weeks to complete this process.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)

2. Provide Certification of Incorporation

3. ACO Attestation – Xavier Avila

4. BSF Form – Please work with the client to have the attached filled out.

5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

Thank you

Nina Tona

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From: Nina Tona

Sent: Tuesday, November 14, 2017 10:51 AM

To: Martin Zeman <[REDACTED]>; Xavier Avila <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>; Mathew Negus

<[REDACTED]>

Subject: Southern Financial LLC [I]

Classification: For internal use only

Hi Martin,

Hope all is well.

Southern Financial LLC is one of the accounts GM wanted to off-board thus we are working on retaining the client. In order to do so, kindly provide the below info.

PENDING W/BUSINESS

1. Provide RR (Sales Rep) AND RP (Desk Head)
2. Provide Certification of Incorporation
3. ACO Attestation – Xavier Avila
4. BSF Form – Please work with the client to have the attached filled out.
5. MD sales approval – Xavi please approve the below

Hi Xavi,

Kindly provide MD sales approval for the NCA of Southern Financial LLC for the below products/entities.

Thanks

Kind regards,

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Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

Deutsche Bank Wealth Management

5022 Gate Parkway

Jacksonville, Florida 32256

Tel. [REDACTED]

Email [REDACTED]

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