

Bethany Wagner

From: Tameika Burns on behalf of Repo Margin
Sent: Tuesday, November 22, 2016 10:36 AM
To: CMNY Margin; Roddy Moore
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Hi

We have no agreement set up in Magellan for the below 2 accounts

Kind Regards,

Repo Margin
Collateral Management
DB [REDACTED]

Primary contacts:
Ansar Bhatti | [REDACTED]
Tameika Burns | [REDACTED]

Escalation contacts:
James Hetherington | [REDACTED]
James McCallister | [REDACTED]

From: Christopher Olen **On Behalf Of** CMNY Margin
Sent: 21 November 2016 21:00
To: Roddy Moore; Repo Margin
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Hi Roddy,

Confirmed the below ISDA accounts have no balance or exposure as of today.

Repo Team,

Are these GMRA accounts that you are able to confirm on?

SOUTHERN FINANCIAL LLC
ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330

GMRA: PLM Contract No. 752070

Thank you,
Chris Olen



Chris Olen
Operations Analyst
Collateral Management and Valuations
COO Global Markets Operations

Deutsche Bank Securities Inc.
[Redacted]
[Redacted]
[Redacted]

First Escalation:
[Redacted]

Second Escalation:
[Redacted]

From: Roddy Moore
Sent: Monday, November 21, 2016 3:09 PM
To: CMNY Margin [Redacted] >
Cc: Keith Buckholz <[Redacted]>; Andrew Xu <[Redacted]>
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]
Importance: High

Classification: **For internal use only**

Following up on the below... We need to get back to the business on this. Thanks.

Roddy Moore
Business Risk Management
Deutsche Bank Wealth Management
(P) [Redacted]

From: Roddy Moore
Sent: Monday, November 21, 2016 2:10 PM
To: Roddy Moore; CMNY Margin
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Sorry... Cptys below...

SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310

GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330

GMRA: PLM Contract No. 752070

Roddy Moore

Business Risk Management

Deutsche Bank Wealth Management

(P) [REDACTED]

From: Roddy Moore

Sent: Monday, November 21, 2016 2:10 PM

To: CMNY Margin

Cc: Keith Buckholz; Andrew Xu

Subject: FW: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Can you confirm that the following 2 cpty's have no exposure/acct balance. They have to hear it from you, apparently.

Roddy Moore

Business Risk Management

Deutsche Bank Wealth Management

(P) 212-454-1162

From: Daniel Sabba

Sent: Monday, November 21, 2016 2:07 PM

To: Katherine Milligan; Sebastian Marcilese; Keith Buckholz; Roddy Moore; Andrew Xu

Cc: Bethany Wagner

Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Keith/Roddy/Andrew – could you maybe please assist? Many thanks, Daniel

From: Katherine Milligan

Sent: Monday, November 21, 2016 2:04 PM

To: Daniel Sabba; Sebastian Marcilese

Cc: Bethany Wagner

Subject: FW: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Importance: High

Classification: **For internal use only**

Daniel/Sebastian,

I am unable to proceed with termination until CMV confirms below. I will be out of the office the remainder of this week and have asked my colleague Bethany (copied) to process these terminations if CMV confirmation is provided in my absence.

Please reach out if you have any questions or concerns. Many thanks!

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services

[Redacted]
[Redacted]
[Redacted]@ [Redacted]

From: Katherine Milligan
Sent: Monday, November 21, 2016 2:02 PM
To: CMNY BA <[Redacted]>
Cc: Sebastian Marcilese <[Redacted]>; Daniel Sabba <[Redacted]>; Bethany Wagner <[Redacted]>
Subject: FW: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]
Importance: High

Classification: For internal use only

CMV:

Following up on the below, kindly confirm if these accounts have 0 account balances so that we may proceed with termination of the same. Thank you.

SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

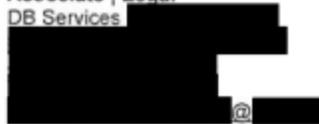
ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services



From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:15 AM
To: CMNY BA <[REDACTED]>
Subject: FW: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Hi CMV,

Kindly confirm 0 account balances for the funds listed below. Thanks very much in advance:

SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services



From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:11 AM

To: Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>
Cc: Sebastian Marcilese <[REDACTED]>; Keith Buckholz <[REDACTED]>; Eduardo Waite <[REDACTED]>
Subject: FW: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Hi Roddy and Andrew,

At your earliest convenience, please confirm zero exposure for each of the accounts listed below:

SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Many thanks in advance.

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services

[REDACTED]
[REDACTED]@[REDACTED]

From: Sebastian Marcilese
Sent: Wednesday, November 16, 2016 11:07 AM
To: Keith Buckholz <[REDACTED]>; Katherine Milligan <[REDACTED]>
Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>
Subject: RE: Southern Financial and Southern Trust: ISDA and Repo Termination

Sure Keith.
Katherine will be working on it

From: Keith Buckholz
Sent: Wednesday, November 16, 2016 10:01 AM
To: Sebastian Marcilese <[REDACTED]>
Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>

Subject: Southern Financial and Southern Trust: ISDA and Repo Termination
Importance: High

Sebastian,

Wealth Management is offboarding the below two clients. Can we please begin the process of terminating these trading agreements? Thanks.

SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Regards,

Keith Buckholz



Keith Buckholz
Director

Deutsche Bank Wealth Management
Business Risk Management



Katherine Milligan

From: Andrew Xu
Sent: Wednesday, November 16, 2016 1:08 PM
To: Katherine Milligan; Roddy Moore
Cc: Sebastian Marcilese; Keith Buckholz; Eduardo Waite
Subject: RE: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

Categories: CRM APPROVALS

Classification: For internal use only

Confirmed.

Andrew Xu, CFA

From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:11 AM
To: Roddy Moore; Andrew Xu
Cc: Sebastian Marcilese; Keith Buckholz; Eduardo Waite
Subject: FW: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

Classification: For internal use only

Hi Roddy and Andrew,

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ISDA: PLM Contract No. 640310

GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330

GMRA: PLM Contract No. 752070

Many thanks in advance.

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services

[REDACTED]

From: Sebastian Marcilese
Sent: Wednesday, November 16, 2016 11:07 AM
To: Keith Buckholz <[REDACTED]>; Katherine Milligan <katherine.[REDACTED]>
Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>
Subject: RE: Southern Financial and Southern Trust: ISDA and Repo Termination

Sure Keith.
Katherine will be working on it

From: Keith Buckholz
Sent: Wednesday, November 16, 2016 10:01 AM
To: Sebastian Marcilese <[REDACTED]>
Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>
Subject: Southern Financial and Southern Trust: ISDA and Repo Termination
Importance: High

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GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC
ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Regards,

Keith Buckholz



Keith Buckholz
Director

Deutsche Bank Wealth Management
Business Risk Management

[REDACTED]

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

USAO 001808
DB-SDNY-0000848
EFTA_00019718

EFTA00169445

Katherine Milligan

From: Andrew Xu
Sent: Wednesday, November 16, 2016 1:08 PM
To: Katherine Milligan; Roddy Moore
Cc: Sebastian Marcilese; Keith Buckholz; Eduardo Waite
Subject: RE: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

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Andrew Xu, CFA

From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:11 AM
To: Roddy Moore; Andrew Xu
Cc: Sebastian Marcilese; Keith Buckholz; Eduardo Waite
Subject: FW: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [I]

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GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

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GMRA: PLM Contract No. 752070

Many thanks in advance.

Best Regards,

Katherine

Katherine M. Milligan

Associate | Legal
DB Services



<mailto:melissa.ap

Bethany Wagner

From: Tameika Burns on behalf of Repo Margin
Sent: Tuesday, November 22, 2016 10:36 AM
To: CMNY Margin; Roddy Moore
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

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Hi

We have no agreement set up in Magellan for the below 2 accounts

Kind Regards,

Repo Margin
Collateral Management
DB [REDACTED]
GTO Operations
[REDACTED]
[REDACTED]

Primary contacts:
Ansar Bhatti | [REDACTED]
Tameika Burns | [REDACTED]

Escalation contacts:
James Hetherington | [REDACTED]@ [REDACTED] | [REDACTED]
James McCallister | [REDACTED]

From: Christopher Olen **On Behalf Of** CMNY Margin
Sent: 21 November 2016 21:00
To: Roddy Moore; Repo Margin
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: For internal use only

Hi Roddy,

Confirmed the below ISDA accounts have no balance or exposure as of today.

Repo Team,

Are these GMRA accounts that you are able to confirm on?

SOUTHERN FINANCIAL LLC
ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330

GMRA: PLM Contract No. 752070

Thank you,
Chris Olen



Chris Olen
Operations Analyst
Collateral Management and Valuations
COO Global Markets Operations

Deutsche Bank Securities Inc.
[REDACTED]

First Escalation:
[REDACTED]

Second Escalation:
[REDACTED]

From: Roddy Moore
Sent: Monday, November 21, 2016 3:09 PM
To: CMNY Margin <[REDACTED]>
Cc: Keith Buckholz <[REDACTED]>; Andrew Xu <[REDACTED]>
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]
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Roddy Moore
Business Risk Management
Deutsche Bank Wealth Management
(P) [REDACTED]

From: Roddy Moore
Sent: Monday, November 21, 2016 2:10 PM
To: Roddy Moore; CMNY Margin
Cc: Keith Buckholz; Andrew Xu
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

Classification: **For internal use only**

Sorry... Cptys below...

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GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Roddy Moore

Business Risk Management
Deutsche Bank Wealth Management
(P) [REDACTED]

From: Roddy Moore
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Deutsche Bank Wealth Management
(P) [REDACTED]

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To: Katherine Milligan; Sebastian Marcilese; Keith Buckholz; Roddy Moore; Andrew Xu
Cc: Bethany Wagner
Subject: RE: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [I]

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Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services

From: Katherine Milligan
Sent: Monday, November 21, 2016 2:02 PM
To: CMNY BA <[REDACTED]>
Cc: Sebastian Marcilese <[REDACTED]>; Daniel Sabba <[REDACTED]>; Bethany Wagner <[REDACTED]>
Subject: FW: Southern Financial and Southern Trust: -TERMINATION APPROVAL REQUEST [1]
Importance: High

Classification: For internal use only

CMV:

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SOUTHERN FINANCIAL LLC

ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services New Jersey, Inc.



From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:15 AM
To: CMNY BA <[REDACTED]>
Subject: FW: Southern Financial and Southern Trust: ISDA and Repo-TERMINATION APPROVAL REQUEST [1]

Classification: **For internal use only**

Hi CMV,

Kindly confirm 0 account balances for the funds listed below. Thanks very much in advance:

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SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Best Regards,
Katherine



Katherine M. Milligan

Associate | Legal
DB Services



From: Katherine Milligan
Sent: Wednesday, November 16, 2016 11:11 AM

To: Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>
Cc: Sebastian Marcilese <[REDACTED]>; Keith Buckholz <[REDACTED]>; Eduardo Waite <[REDACTED]>
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GMRA: PLM Contract No. 739190

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ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

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Katherine



Katherine M. Milligan

Associate | Legal
DB Services

From: Sebastian Marcilese

Sent: Wednesday, November 16, 2016 11:07 AM

To: Keith Buckholz <[REDACTED]>; Katherine Milligan <[REDACTED]>

Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>

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Cc: Daniel Sabba <[REDACTED]>; Roddy Moore <[REDACTED]>; Andrew Xu <[REDACTED]>

Subject: Southern Financial and Southern Trust: ISDA and Repo Termination
Importance: High

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Wealth Management is offboarding the below two clients. Can we please begin the process of terminating these trading agreements? Thanks.

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ISDA: PLM Contract No. 640310
GMRA: PLM Contract No. 739190

SOUTHERN TRUST COMPANY INC

ISDA: PLM Contract No. 640330
GMRA: PLM Contract No. 752070

Regards,

Keith Buckholz



Keith Buckholz
Director

Deutsche Bank Wealth Management
Business Risk Management



CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

USAO 001818
DB-SDNY-0000858
EFTA_00019728

EFTA00169455