

Highly sophisticated private investor and trader across asset classes and derivatives  
One of largest brokerage clients at JP Morgan; Multiple relationships across the street  
Private investor in early stage VC

Deal Description:

Prospect recently moved approximately moved \$200 million of securities and cash (equities, currencies, structures, fixed income, swaps, commodities etc)  
Very active trader; ISDAs negotiated and finalized in timely manner  
Significant growth opportunity for asset growth in 2014  
Strong existing relationship with banker, multiple meetings/call with client and team got him comfortable with global trading capabilities  
Client also liked the focus of the DB platform and KCP model  
Client will trade across all asset classes using cash, derivatives and structures

Key Success Factors:

frequent dialogue with principal and family office members  
Teamwork - KCP Caroline Kitidis, Tazia Smith, Vahe Stephanian, Amanda Kirby, Blanche Christerson, Credit Risk Management, Account Opening Group (India)

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From: Diego Galan/db/dbcom  
To: Paul Morris/db/dbcom@DBAMERICAS,  
Date: 12/03/2013 01:43 PM  
Subject: Success Story for this coming Thursday USPB MD Banker meeting [I]

Classification: For internal use only

Hi Paul,

During this coming Thursday USPB banker MD meeting Chip would like you to present a brief overview of the recent accounts opened for Southern Financial LLC, that I understand moved from JPM.

Could you please send me a brief overview of the deal, including:

- Client profile, including the business the client was doing at JPM
- Deal description / type of business the client is doing / is planning to do with us
- Key success factor to win the accounts, including any Product and support people involved

It would be great of you could send me this overview before noon tomorrow; also happy to discuss in person if easier.

Thanks,  
Diego