

Subject: RE: \*\*VERY URGENT\*\*\*Re: FW: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\* [I]  
From: Vahe Stepanian <[REDACTED]>  
Date: Fri, 13 Feb 2015 17:28:54 -0500  
To: Sowmya-D R <[REDACTED]>, Jay Lipman <[REDACTED]>  
Cc: Kumar Sambhav <[REDACTED]>, Prabhuling-C Kottalagi <[REDACTED]>, Sanjay Mehta <[REDACTED]>

Classification: For internal use only

Thank you Sowmya.

From: Sowmya-D R  
Sent: Friday, February 13, 2015 3:18 PM  
To: Jay Lipman  
Cc: Kumar Sambhav; Prabhuling-C Kottalagi; Sanjay Mehta; Vahe Stepanian  
Subject: RE: \*\*VERY URGENT\*\*\*Re: FW: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\* [I]

Classification: For internal use only

Hi Jay,

Please find revised doc attached, Let me know if you need further changes to doc?

(See attached file: 618176.pdf)

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]  
Group ID : corporate.chasing@db.com

{Inactive hide details for Jay Lipman---02/13/2015 11:25:38 PM---Hi,}Jay Lipman---02/13/2015 11:25:38 PM---Hi,

{cid:image002.png@01D047B2.874DFB90}

From:

{cid:image003.png@01D047B2.874DFB90}  
Jay Lipman/db/dbcom@DBC0EX

{cid:image002.png@01D047B2.874DFB90}

To:

{cid:image003.png@01D047B2.874DFB90}  
Sowmya-D R/db/dbcom@DBAPAC, Sagar-A Valecha/db/dbcom, ODC-Equities Account-Maintenance/db/dbcom@DBEMEA,

{cid:image002.png@01D047B2.874DFB90}

Cc:

{cid:image003.png@01D047B2.874DFB90}  
GCO Account-Opening/db/dbcom@DBEMEA, Kumar Sambhav/db/dbcom@DBAPAC, Nitesh Gupta/db/dbcom, Prabhuling-C Kottalagi/db/dbcom, Sagar-A Valecha/db/dbcom, Sanjay Mehta/db/dbcom, Smita-K Hegde/ext/dbcom@DBEMEA, Vahe Stepanian/db/dbcom

{cid:image002.png@01D047B2.874DFB90}

Date:

{cid:image003.png@01D047B2.874DFB90}  
02/13/2015 11:25 PM

{cid:image002.png@01D047B2.874DFB90}

Subject:

{cid:image003.png@01D047B2.874DFB90}  
RE: \*\*VERY URGENT\*\*Re: FW: \*\*\*Southern Financial LLC\*\*\* EDI - 127608\*\*sgr\*\*  
[I]

-----

Hi,

Has this been done? We really need to get this out to the client in the next hour. Thanks.

Jay Lipman  
Key Client Partners  
Deutsche Bank Securities Inc  
Tel. +1 212 454-0039  
Fax +1 646 257-3131  
Email [REDACTED]

From: Sowmya-D R  
Sent: Friday, February 13, 2015 9:49 AM  
To: Sagar-A Valecha; ODC-Equities Account-Maintenance  
Cc: GCO Account-Opening; Jay Lipman; Kumar Sambhav; Nitesh Gupta; Prabhuling-C Kottalagi; Sagar-A Valecha; Sanjay Mehta; Smita-K Hegde; Vahe Stepanian  
Subject: **\*\*VERY URGENT\*\***Re: FW: **\*\*\*Southern Financial LLC\*\*\*** EDI - 127608**\*\*sgr\*\*** [I]

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

Alternative contact Anil-S Kumar ([REDACTED])

Or Ambaji Mane ([REDACTED])

For any escalation please contact : [REDACTED]

Group ID : corporate.chasing@db.com

{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,

{cid:image005.jpg@01D047B2.874DFB90}

From:

{cid:image006.jpg@01D047B2.874DFB90}  
Sagar-A Valecha/db/dbcom@DBC0EX

{cid:image005.jpg@01D047B2.874DFB90}

To:

{cid:image006.jpg@01D047B2.874DFB90}  
ODC-Equities Account-Maintenance/db/dbcom@DBEMEA, Smita-K Hegde/ext/-  
dbcom@DBEMEA,

{cid:image005.jpg@01D047B2.874DFB90}

Cc:

{cid:image006.jpg@01D047B2.874DFB90}  
Jay Lipman/db/dbcom, Sowmya-D R/db/dbcom@DBAPAC, GCO Account-Opening/db/-  
dbcom@DBEMEA, Kumar Sambhav/db/dbcom@DBAPAC, Nitesh Gupta/db/dbcom,  
Prabhuling-C Kottalagi/db/dbcom, Sagar-A Valecha/db/dbcom, Sanjay Mehta/db/-  
dbcom, Vahe Stepanian/db/dbcom

{cid:image005.jpg@01D047B2.874DFB90}

Date:

{cid:image006.jpg@01D047B2.874DFB90}  
02/13/2015 08:16 PM

{cid:image005.jpg@01D047B2.874DFB90}

Subject:

{cid:image006.jpg@01D047B2.874DFB90}  
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; GCO 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: +44(207)7795441

Email: [REDACTED]

Alternative contact Anil-S Kumar ([REDACTED])

Or Ambaji Mane ([REDACTED])

For any escalation please contact : [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,

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

From:

{cid:image002.png@01D047C9.EE2ADF10}  
Jay Lipman/db/dbcom@DBC0EX

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

To:

{cid:image002.png@01D047C9.EE2ADF10}  
Sagar-A Valecha/db/dbcom, Sowmya-D R/db/dbcom@DBAPAC,

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

Cc:

{cid:image002.png@01D047C9.EE2ADF10}  
corporate chasing/db/dbcom@DBAPAC, GC0 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

{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]

-----

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; GCO 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; GCO 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])  
Or Ambaji Mane ([REDACTED])

For any escalation please contact : [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, GCO Account-Opening/db/dbcom@DBEMEA,  
[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\*\*

-----

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])  
Or Ambaji Mane ([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\*\*

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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

---

{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,

EFTA01409747

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])

Or Ambaji Mane ([REDACTED])

For any escalation please contact : [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@DBC0EX

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

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

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}