



Courteney Fomal
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<http://onn.theocc.com/publications/risks/riskstoc.pdf>

From: Thomas Fadian **On Behalf Of** FATCA Outreach
Sent: Tuesday, October 24, 2017 10:43 AM
To: Courteney B Fomal
Cc: Thomas Fadian
Subject: US FATCA Outreach - Client Email Contact Required - [REDACTED] [I]

Classification: **For internal use only**

Dear Courteney,

As per our internal records and the past trading relationship information we have, you appear to hold a Front Office relationship with the following client(s):

Counter Party CRDS ID	Client Name	UP CRDS ID	UP CRDS Name	Booking Entity
[REDACTED]	Strategic Equities Transactions Group - Deutsche Bank Securities Inc	[REDACTED]	Southern Financial, LLC	DB AG (London)

We are required to reach out to the above client(s) to obtain FATCA tax documentation, as these client accounts were not included as part of the original FATCA PADD outreach exercise. Can you provide us with a suitable client email address and/or telephone number for us to send our standard communication?

If you are not the correct contact then please advise and we will update our records accordingly. Alternatively, let us know if you would prefer to contact the client yourself.

Due to the size of the remediation exercise we may be required to contact you in the future regarding other clients you have a relationship with, we are attempting to keep this to a minimum.

If any of the above is unclear please do not hesitate to respond.
Many thanks in advance for your assistance.



FATCA Outreach Team
Client Data Services | COO Global Markets Operations

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