

Subject: Re: Fw: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*** [I
]
From: Amanda Kirby <[REDACTED]>
Date: Wed, 12 Mar 2014 14:59:11 -0400
To: Vahe Stepanian <[REDACTED]>

Classification: For internal use only

OK. Seems like we'll need 2 copies. For SF and ST

Kind regards,
Amanda Kirby

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Amanda Kirby
Associate

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

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Securities offered through Deutsche Bank Securities Inc.

From: [REDACTED]

To: [REDACTED]

Date: 03/12/2014 02:55 PM

Subject: Fw: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*** [I
I]

Classification: For internal use only

Amanda - I need to find out more details about this, but lets incorporate this
into the meeting tmw.

----- Forwarded by Vahe Stepanian/db/dbcom on 03/12/2014 02:54 PM -----

From: [REDACTED]

To: [REDACTED]

Cc: [REDACTED]

Date: 03/12/2014 02:44 PM

Subject: Re: Fw: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*
** [I]

Classification: For internal use only

Vahe,

We need to send out the following documents to Jeffrey Epstein to sign for both Souther Financial and Southern Trust. As Jeffrey has signed the DF protocol, but not the updated EMIR protocol (result of recent regulatory changes), the attached document is necessary and outstanding. This document covers the EMIR requirements that were not part of our original Dodd Frank protocol.

[attachment "DB Wealth - DF Protocol Amendment No 1 Final 10.29.13.pdf" deleted by Amanda Kirby/db/dbcom]
1) Sections 1.2 and 1.6.

i.) These sections request the client to specify whether they Are or Are Not a Financial Counter-party. This is of great importance. I have attached a document which breaks down exactly what criteria define "FC" and "NFC". Please note: the answer can not be the same for both of these questions. Please highlight this to client.

ii) If a client classifies as an "NFC", they are subdivided again into NFC+ and NFC-, based on outstanding derivative transactions exceeding certain values. Please see attached EMIR Regulation Document for more information.

[attachment "EMIR Regulation Protocol Instruction Deck.pdf" deleted by Amanda Kirby/db/dbcom]

Please look over these documents and send through to Amanda to forward on.
Thank you

Kind Regards,

Jay Lipman

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Jay Lipman
Analyst I Key Client Partners

DB Securities Inc
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

From: [REDACTED]

To: [REDACTED]

Cc: [REDACTED]

Date: 03/12/2014 11:30 AM

Subject: Fw: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*** [I]

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Please provide the Amendment to the Dodd Frank protocol, which covers the EMIR requirements, for the two clients below to finalize account set up.

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Mary Davitt
Solutions & Trading Group (STG)

Deutsche Asset & Wealth Management
345 Park Avenue, New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

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----- Forwarded by Mary Davitt/db/dbcom on 03/12/2014 11:27 AM -----

From: [REDACTED]

To: [REDACTED]

Cc: [REDACTED]

Date: 03/12/2014 10:35 AM

Subject: Re: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*** [I]

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Hi Mary,

The counterparties are :

SOUTHERN TST CO
SOUTHERN FIN

Kind Regards,
Amit Naidu

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Amit Naidu

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. [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

Level 1 Escalation Contact : P Guru Raju

Tel : [REDACTED]

Email [REDACTED]

Level 2 Escalation Contact : Ashim Kumar Sharma

Tel : [REDACTED]

email [REDACTED]

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From: [REDACTED]

To: [REDACTED]

Cc: [REDACTED]

Date: 03/12/2014 05:49 PM

Subject: Re: Request ID [REDACTED] **Private Client Services (PWM _ Alex Brown)*** [I]

Classification: For internal use only

Can you provide the counterparty names.

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Mary Davitt
Solutions & Trading Group (STG)

Deutsche Asset & Wealth Management
345 Park Avenue, New York, NY 10154

Tel. [REDACTED]

Fax [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

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From: [REDACTED]

To: [REDACTED]

Cc: [REDACTED]

Date: 03/11/2014 06:45 PM

Subject: Request ID [REDACTED] ***Private Client Services (PWM _ Alex Brown)*** [I]

Classification: For internal use only

Hi Gedeon/Mary,

Kindly confirm whether the client is trading in physical commodities or not for the captioned request IDs.

If they are trading in physical commodities please fill the below commodity checklist and attest the same with your signature.

[attachment "Commodity KYC Checklist v5 (COB).docx" deleted by Mary Davitt/db/dbcom]

If the client is trading in financial please provide DF and EMIR documents.

Please provide PCA principle sheet & word questionnaire.

Kind Regards,
Amit Naidu

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Amit Naidu

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. [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

Level 1 Escalation Contact : P Guru Raju
Tel : [REDACTED]
Email [REDACTED]

Level 2 Escalation Contact : Ashim Kumar Sharma
Tel : [REDACTED]
email [REDACTED]

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