Subject: RE: Southern Financial - KYC Docs. [C]
From: Saba Hussain <[redacted]>
Date: Wed, 11 Apr 2018 10:14:35 -0400
To: Zack Bunimovich <[redacted]>,
Martin Zeman <[redacted]>,
Nina Tona <[redacted]>,
Anthony Lentini <[redacted]>
Cc: FATCA Outreach <[redacted]>

Classification: Confidential

Hi Zack,

As the outreach team we have a set of client data where we are required to reach out to the client for missing FATCA documents. At the time when the attached emails were sent, it was only necessary to obtain a W-Form in order to suffice our requirements. However this does not mean that the bank would not require any additional or other documentation from the client in the future.

I have also checked with the CRS outreach team and unfortunately they do not have a form on hand for this client. The client has been marked as unresponsive to the outreach communication sent so far.

Kind regards,

Saba Hussain

{https://brandportal.intranet.db.com/img/modules/logo.gif}

Saba Hussain

Associate| Client Outreach

COO Global Markets Operations

Deutsche Bank Birmingham
5 Brindley Place, Birmingham, United Kingdom, B1 2JB

Tel. +44 121 4078312
Email [redacted]

From: Zack Bunimovich
Sent: 10 April 2018 19:14
To: Martin Zeman <[redacted]>; Nina Tona <[redacted]>; FATCA Outreach <[redacted]>; Anthony Lentini <[redacted]>
Subject: RE: Southern Financial - KYC Docs. [C]

Classification: Confidential

Hi FATCA Outreach team,

We are currently in the middle of a swaps extension for Southern Financial and the KYC team is asking for a CRS Self Cert per their usual process. Can you please advise why you stated this was not necessary within the attached emails?

Thanks,

Zack

From: Martin Zeman
Sent: Tuesday, April 10, 2018 1:28 PM
To: Zack Bunimovich <[redacted]>; Nina Tona <[redacted]>
Subject: RE: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Zack

See the attached email chain where we established that a FATCA form was not needed.

Martin

From: Zack Bunimovich
Sent: Monday, April 09, 2018 11:47 AM
To: Martin Zeman <[redacted]>; Nina Tona <[redacted]>
Subject: FW: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hey Martin / Nina,

Southern Financial is with Verification but they noticed that we do not have a CRS Self Certification form on file anymore from previous onboardings. We are usually looking for something similar to the attached format, but it's possible that the client has provided this before and has their own template. Can this be requested from the client?

Thanks,

Zack

From: Anthony Lentini
Sent: Monday, April 09, 2018 10:51 AM
To: Zack Bunimovich <[redacted]>
Subject: Southern Financial - KYC Docs. [I]

Classification: For internal use only

Hi Zack,

An update on Southern Financial, it is with Verification and they are reviewing right now. While they were going through their review they noticed that the CRS Self Cert file from a previous onboarding is no longer on file/-in the system.

Could you please send over a new CRS Self Cert so they can proceed with their review?

Apologies for the inconvenience.

Kind Regards,

{cid:1__=0FBBF1B8DFF0A9818f9e8a93df9386909@db.com}

Anthony Lentini

Client Data Services | COO DBUSA Core Corp.

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Tel.: ([redacted]

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