

Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]
From: Amanda Kirby <[REDACTED]>
Date: Fri, 01 Nov 2013 13:03:40 -0400
To: Pema Sherpa <[REDACTED]>
Cc: Dhruv Yadav <[REDACTED]>, Margarita Perez <[REDACTED]>, PWM AOG <[REDACTED]>

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OK, I am sure he meant to write C Corporation instead of 'Sched C'. I can get a new one but can this please be approved right away with a temporary exception? This is an escrow account and the client has told me that a deal may not go through today if they cannot wire in funds. I will be able to get you an updated W-9 within 30 minutes but they desperately need to open these accounts.

I would be so appreciative if we could get these opened asap and I will follow up with the W-9 shortly

Best,
Amanda Kirby

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Amanda Kirby
Associate

Deutsche Bank Trust Company Americas
345 Park Avenue, 27th Fl
New York, NY, USA, 10154-0004
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

(Embedded image moved to file: pic06267.gif)

From: Pema [REDACTED]
To: Amanda [REDACTED],
Cc: Dhruv [REDACTED], Margarita [REDACTED], PWM [REDACTED]
Date: 11/01/2013 01:00 PM
Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

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Hi Amanda,

Schedule C is not the correct tax classification. It has to be either C Corporation, S Corporation or Partnership.

Kind regards,
Pema Sherpa

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Pema Sherpa

Deutsche Bank Trust Company Americas
60 Wall Street, New York, NY 10005-2836
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From: Amanda [REDACTED]

To: Pema [REDACTED],

Cc: Dhruv [REDACTED], Margarita [REDACTED], PWM [REDACTED]

Date: 11/01/2013 12:55 PM

Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

Classification: For internal use only

Pema,

You are correct. I am unsure why there are 2 separate W-9's since they are both the same company. The W-9 you just sent is correct

Best,
Amanda Kirby

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Amanda Kirby
Associate

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(Embedded image moved to file: pic26299.gif)

From: Pema [REDACTED]

To: Amanda [REDACTED],

Cc: Dhruv [REDACTED], PWM [REDACTED], Margarita [REDACTED]

Date: 11/01/2013 12:52 PM

Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

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Hi Amanda,

Is it a sole proprietor then? I looked into the KYC to get more details on the LLC and found a W-9 (attached) which has LLC checked off and refers to Schedule C which is filed out by a Sole Proprietor,

[attachment "Darren K. Indyke PLLC W-9.pdf" deleted by Amanda [REDACTED]]

Kind regards,
Pema Sherpa

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Pema Sherpa

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(Embedded image moved to file: pic30868.gif)

From: Amanda [REDACTED]

To: PWM [REDACTED],

Cc: Dhruv [REDACTED], Pema [REDACTED], PWM [REDACTED]
MERICAS

Date: 11/01/2013 10:59 AM

Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

Classification: For internal use only

HI,

Here are the updated docs. For the W-9 it checked Other because it is a "PLLC" (Professional LLC) does not file under an LLC C,S or P.

[attachment "0609_001.pdf" deleted by Pema ██████████]

Best,
Amanda Kirby

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Amanda Kirby
Associate

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From: PWM ██████████

To: Pema ██████████,

Cc: Amanda ██████████, PWM ██████████

Date: 11/01/2013 10:47 AM

Subject: Re: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

Classification: For internal use only

Hi Pema,

FYI

Thanks,
Dhruv Yadav

PWM AOG
DBOI Global Services Private Limited
Email : ██████████

From: PWM ██████████

To: Amanda ██████████,

Cc: PWM [REDACTED]

Date: 11/01/2013 10:42 AM

Subject: DB Force Case# 01146170: Darren K. Indyke PLLC [I]

Classification: For internal use only

Hi Amanda,

While reviewing the account opening docs, we came across the below issues:

1. On Account Opening Application, both DB Private Wealth Online Plus and Link to Existing Online Relationship have been selected.

Please select the correct one only.

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2. This entity is Limited Liability Corporation, however on W-9, Federal Tax Classification is selected as Other: Atty Tust Account.

Please correct the same to LLC along with the Tax Classification (S,C or P)

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3. KYC is in pending status.

Please let us know, once it is approved.

Thanks,
Dhruv Yadav

PWM AOG
DBOI Global Services Private Limited
Email : [REDACTED]