

Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]
From: Joshua Shoshan <[REDACTED]>
Date: Tue, 13 Mar 2018 14:17:27 -0400
To: Nina Tona <[REDACTED]>,
Xavier Avila <[REDACTED]>,
Davide-A Sferrazza <[REDACTED]>,
Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>,
Billy Obregon <[REDACTED]>,
Ian Salters <[REDACTED]>

Nina, hi. Please add Kaiser and Somerston to the priority list. Thanks. I think I thought I sent it, but clearly these names did not make it to the list. Best regards, --Josh

{cid:image001.gif@01D259D5.3E2DF0F0}

Joshua Shoshan
Director | Key Client Partners - US

DB Securities Inc
Deutsche Bank Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA

[REDACTED]
[REDACTED]
[REDACTED]
Email [REDACTED]

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From: Nina Tona
Sent: Tuesday, March 13, 2018 2:00 PM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>; Tazia
Smith <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>; Ian Salters
<[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]

Classification: For internal use only

Hi Tazia,

We are putting together our KYC/NCA priorities list for our GM accounts. Please let me know if we are missing anything from your perspective.

Thank you

Nina Tona

From: Xavier Avila
Sent: Tuesday, March 13, 2018 1:55 PM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>; Ian Salters
<[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]

This is good, below my changes...

Let's make sure we collate everyone's priorities...someone reach out to Tazia and co too to see if anything we are missing.

From: Nina Tona
Sent: Tuesday, March 13, 2018 1:16 PM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]

Hi Team,

Please see the below and advise if the rank priority is correct and help me fill the blanks highlighted in green. Once I get your confirmation, I will forward to Mat and Rita to manage.

Priority Rank

Team

WM Client / Account Name

dbcar ID

New KYC

KYC Review Date

Responsible - For Info/Docs

Responsible - For Contact/CM

Case Manager

KYC Target Due Date

Live Trades

Comments

1

KCP LATAM

03 Capital Global Fund

██████████

Yes

N/A

Xavi A

Nina T

Rita Shteynberg

ASAP

Yes

3/13- Gregg needs to provide AFC - 2 items pending.

2

KCP US

Southern Financial LLC

[REDACTED]

No

12/15/2015

Martin Z

Nina T

Zack Bunimovich

ASAP

Yes

3/13- Zack came back asking for items. Half were given beginning of Feb.

3

KCP LATAM

Tonelle Limited

[REDACTED]

No

6/5/2015

Xavi A

Nina T

Rita Shteynberg

ASAP

Yes



KCP US

Anschutz Investments Co



Yes

N/A

Martin Z

Nina T

Aisha Khan

ASAP

Yes

List of requirements provided and sent to Martin

5

KCP LATAM

Blue Media Investments Inc



No

8/29/2017

Xavi A

Nina T

Rita Shteynberg

End April

None

No initial response from Case Manager

6

KCP LATAM

Fratelli Investments Limited

██████████

No

█/23/2017

Xavi A

Nina T

Aisha Khan

End April

None

Waiting on response from Case Manager

8

KCP LATAM

Inversiones Alabama Limitada

N/A

Yes

N/A

Billy 0

Nina T

Rita Shteynberg

ASAP

None

Waiting on info from Billy

9

KCP LATAM AB

Colina Insurance Limited

██████████

No

8/21/2016

Rodrigo G

Nina T

Rodrigo should be heading this (Pls Nina speak to Rodrigo)

10

KCP LATAM

Armory Fund LDC

██████████

No

1/31/2014

Billy O

Nina T

Rita Shteynberg

Started - Need info from Eduardo

11

KCP US

Amzak Capital Management LLC

██████████

No

8/6/2017

Martin Z

Nina T

Not yet sent to Case Manager

12

KCP US

MSD Capital L.P.

██████████

No

10/8/2016

Martin Z

Nina T

Not yet sent to Case Manager

13

KCP US AB

Centaurus Capital LP

██████████

No

12/18/2016

Martin Z

Nina T

Not yet sent to Case Manager

14

KCP LATAM

W De Argentina - Inversiones S.A

1007979444

No

Xavi A

Nina T

Rita Shteynberg

End April

None

Waiting on info from Xavi

Thank you

Nina Tona

From: Xavier Avila
Sent: Monday, March 12, 2018 6:55 PM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Nina, pls consolidate a priority list of KYC Remediation/NCA/Extensions

From all the team

So that we can discuss with Ian/Jitan/Mat

Thanks

From: Nina Tona
Sent: Monday, March 12, 2018 11:26 PM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

WM Argentina – KYC – please advise once you have the info. Email was sent.

Blue Media Investments Inc – KYC – waiting on the onboarding team to come back

Fratelli Investments Limited – KYC - waiting on the onboarding team to come back

Also can you pls send me the below info

Vulcan send me PNL per asset class – will send once I receive

Fintech add to our list of LatAm clients and send me dbCAR picture and PNL – will send you an email separately with the possible names.

Kawa add to our list of LatAm clients and send me dbCAR picture and PNL waiting on the onboarding team to come back

Anschutz Investment Company – Onboarding into Fixed Income DBSI and Loan Trading in DBNY - Waiting on list, should have shortly.

Thank you

Nina Tona

From: Xavier Avila
Sent: Monday, March 12, 2018 11:55 AM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

My focus here...

WM Argentina - KYC

Blue Media Investments Inc - KYC

Fratelli Investments Limited - KYC

Also can you pls send me the below info

Vulcan send me PNL per asset class

Fintech add to our list of LatAm clients and send me dbCAR picture and PNL

Kawa add to our list of LatAm clients and send me dbCAR picture and PNL

Anschutz Investment Company – Onboarding into Fixed Income DBSI and Loan Trading in DBNY

From: Xavier Avila

Sent: Friday, March 02, 2018 1:08 PM

To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>

Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>

Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Let's target end of March/Mid April?

I also need to give you W of Argentina, but I am in Buenos Aires on the 13-14 of March and I will visit them as I have not seen them before.

And of course 03 is priority.

From: Nina Tona
Sent: Friday, March 02, 2018 12:29 PM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Can you give me timeframes on when you need these done by?

Blue Media Investments Inc – will send to case management

Fratelli Investments Limited (Nina, why do we have 2 entries?) Fratelli twice by accident.

Transacciones e Inversiones Arizona SA (now Alabama, Billy?) – Waiting on info from Billy

Colina Insurance Limited (Nina pls check with Rodrigo what's up here) – I'll check with Rodrigo

Thank you

Nina Tona

From: Xavier Avila
Sent: Friday, March 02, 2018 12:22 PM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]
Importance: High

Everyone comes back with our top 3 priorities

Mine are

Blue Media Investments Inc

Fratelli Investments Limited (Nina, why do we have 2 entries?)

Transacciones e Inversiones Arizona SA (now Alabama, Billy?)

Colina Insurance Limited (Nina pls check with Rodrigo what's up here)

Billy, let's discuss rest of LatAm

Josh, see GKFF

Martin, SF?

And who is looking at MSD and Centaurus Capital LP ?

From: Nina Tona

Sent: Friday, March 02, 2018 12:16 PM

To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>

<[REDACTED]>; Alastair Mackinlay <[REDACTED]>

Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan

<[REDACTED]>; Billy Obregon <[REDACTED]>

Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Team –

Please let me know which clients are of priority so we can start the NCA process.

Thank you

Nina Tona

From: Nina Tona
Sent: Wednesday, February 21, 2018 11:30 AM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Team,

For all the below clients KYC review date is overdue. Please review and advise if, 1- renew KYC and 2- who will be my contact for info.

Team

WM Client / Account Name

dbcar ID

KYC Review Date

Renew KYC Y/N

Responsible - For Info/Docs

Banker

Responsible - For Contact/CM

Case Manager

Comments

KCP LATAM

Armory Fund LDC

[REDACTED]

1/31/2014

Yes

Billy 0

Nina T

Started - Need info from Eduardo

KCP LATAM

Blue Media Investments Inc

[REDACTED]

8/29/2017

KCP LATAM

Bradwell Commercial Ltd

██████████

9/13/2017

KCP LATAM

Drake Aurora Fund

██████████

5/29/2015

KCP LATAM

Fratelli Investments Limited

██████████

█/23/2017

Yes

Billy 0

Mauricio P

Nina T

KCP LATAM

Inverban

██████████

8/7/2017

KCP LATAM

Proaltus Capital Partners SL

██████████

11/15/2017

KCP LATAM

Puerto Asis Corporation

[REDACTED]

12/19/2017

KCP LATAM

Signature Capital

[REDACTED]

8/20/2016

No

Billy said client will open a new entity

KCP LATAM

Tonelle Limited

[REDACTED]

6/5/2015

KCP LATAM

Transacciones e Inversiones Arizona SA

██████████

2/25/2017

KCP Latam

Fratelli Investments Limited, BM

██████████

█/23/2017

KCP LATAM AB

Colina Insurance Limited

██████████

8/21/2016

Yes

Rodrigo G

KCP US

Amzak Capital Management LLC

██████████

8/6/2017

KCP US

Canyon Green Solemint LLC,US / Geoffrey H Palmer,US

██████████

7/6/2016

KCP US

DAVID H MURDOCK LIVING TRUST

██████████

12/19/2017

KCP US

Dean Holdings Inc

██████████

12/31/2017

KCP US

Gapstow

[REDACTED]

11/18/2016

KCP US

George Kaiser Family Foundation

[REDACTED]

9/2/2016

Yes

Xavi A

Davide S

KCP US

Guardian Investment Company Ltd,BS

[REDACTED]

10/28/2013

KCP US

JMB Capital Partners LP

[REDACTED]

12/31/2017

KCP US

Somerston Investments Ltd,GB

[REDACTED]

12/31/2017

KCP US

Southern Financial LLC

██████████

12/15/2015

Yes

Martin Z

Nina T

Zack Bunimovich

Process has started

KCP US

West Family Investments Inc

██████████

1/13/2015

KCP US

MSD Capital L.P.

██████████

10/8/2016

KCP US AB

Centaurus Capital LP

██████████

12/18/2016

Thank you

Nina Tona

From: Xavier Avila
Sent: Tuesday, February 20, 2018 7:00 PM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Good work, let's review later this week....

From: Nina Tona
Sent: Tuesday, February 20, 2018 5:50 PM
To: Davide-A Sferrazza <[REDACTED]>; Xavier Avila
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Np. Sounds good!

Thank you,
Nina Tona

From: Davide-A Sferrazza <[REDACTED]>

Date: Tuesday, Feb 20, 2018, 5:44 PM

To: Nina Tona <[REDACTED]>, Xavier Avila <[REDACTED]>,
Alastair Mackinlay <[REDACTED]>

Cc: Martin Zeman <[REDACTED]>, Joshua Shoshan
<[REDACTED]>, Billy Obregon <[REDACTED]>

Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Thanks for your work on this, Nina – let me come back with updates from my side, and we can discuss.

Regards,

Davide

From: Nina Tona
Sent: Tuesday, February 20, 2018 5:21 PM
To: Xavier Avila <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan - Update I [I]

Classification: For internal use only

Hi Team – just wanted to send an update on the progress.

Completed

- dbCAR IDs confirmed
- Added KYC Review Date – we need to review this and start KYC reviews
- Latam Tab – products/entities added
- Alex Brown Tab - products/entities added

- Revenues for P/S 2017 added

Pending

- Good to Trade – Davide
- ISDA – Nina and Davide
- Revenues – GM 2017/2018 and P/S 2018
- Live Trade – Davide first shot, then Nina will help
- GM or Umbrella Account – Davide and Nina
- Add products and entities for US Tab

Thank you

Nina Tona

From: Xavier Avila
Sent: Friday, February 16, 2018 11:05 AM
To: Nina Tona <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>; Alastair Mackinlay <[REDACTED]>
Cc: Martin Zeman <[REDACTED]>; Joshua Shoshan
<[REDACTED]>; Billy Obregon <[REDACTED]>
Subject: RE: GM KCP Bible - Action Plan [I]

Nina and I discussed today the below and I gave her my thoughts around the tab "Bible"...

From: Nina Tona
Sent: Thursday, February 15, 2018 2:28 PM
To: Davide-A Sferrazza <[REDACTED]>; Alastair Mackinlay
<[REDACTED]>
Cc: Xavier Avila <[REDACTED]>

Subject: GM KCP Bible - Action Plan [I]

Classification: For internal use only

Hi Davide,

As per our conversation, we have decided to add and format the s/s as per below.

Saved: Z:\KCP - Americas\KCP Capital Markets\GM KCP Main Client List

@Xavi – let us know if you have any objections to what we are trying to do.

Tab 1 – Main file “WM KCP GM Clients” – Will show

To add:

1. Good to Trade – Davide
2. ISDA – Nina and Davide
3. Revenues – Nina and Ali
4. Live Trade – Davide first shot, then Nina will help
5. GM or Umbrella Account – Davide and Nina

Team

WM Client / Account Name

dbcar ID

GM or Umbrella Account

Active

Retain

Good To Trade

ISDA

Live Trade

Banker

KCP Coverage

ACO

KYC Outreach

RP

RR

GM 2017 Revenues

GM 2018 Revenues

GM Sales

2017 KCP (P/S) Revenue

2018 KCP (P/S) Revenue

Notes

Tab 2 – “Latam”, Tab 3 – “US”, Tab 4 – “Alex Brown” – Will show

In addition to the info in Tab 1, it will also have all the products they are active for

Tab 5 – Off-Boards – Will show

The clients that we have decided we no longer want to retain

Thanks

Kind regards,

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

Deutsche Bank Wealth Management

5022 Gate Parkway

Jacksonville, Florida 32256

Tel. [REDACTED]

Email [REDACTED]

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