

Subject: FW: GM KCP Bible - Action Plan - Update I [I]
From: Davide-A Sferrazza <[REDACTED]>
Date: Tue, 13 Mar 2018 14:07:34 -0400
To: Joshua Shoshan <[REDACTED]>

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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]

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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]>
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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

██████████

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

[REDACTED]

9/13/2017

KCP LATAM

Drake Aurora Fund

[REDACTED]

5/29/2015

KCP LATAM

Fratelli Investments Limited

[REDACTED]

[REDACTED]/23/2017

Yes

Billy O

Mauricio P

Nina T

KCP LATAM

Inverban

[REDACTED]

8/7/2017

KCP LATAM

Proaltus Capital Partners SL

██████████

11/15/2017

KCP LATAM

Puerto Asis Corporation

██████████

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

[REDACTED]

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

██████████

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



12/31/2017

KCP US

Somerston Investments Ltd,GB



12/31/2017

KCP US

Southern Financial LLC

1007406812

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

[REDACTED]

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]>
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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]

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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

EFTA01406465

@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
- . 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 ■ – “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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