

Subject: FW: US FATCA Outreach - Client Email Contact Required - 1007406812

[I] [C]

From: Davide-A Sferrazza <[REDACTED]>

Date: Mon, 09 Apr 2018 18:14:50 -0400

To: Martin Zeman <[REDACTED]>

Cc: Liam Osullivan <[REDACTED]>,
Nina Tona <[REDACTED]>

Classification: Confidential

Martin,

In the below chain, the FATCA outreach team stated that they only required the W-9 for Southern Financial (attached).

If Zack and company do in fact need the FATCA form completed, I did not see it anywhere on our saved drive. Ellenoi confirmed that we wouldn't have it from the OTC onboarding, as it was not a requirement at the time we onboarded them.

Regards,
Davide

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

Davide Sferrazza
Analyst | Key Client Partners

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

From: Izzie Wong

EFTA01406741

Sent: Tuesday, November 28, 2017 5:39 AM

To: Liam Osullivan <[REDACTED]>; FATCA Outreach

<[REDACTED]>; Vahe Stepanian <[REDACTED]>

Cc: Thomas Fadian <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>

Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812 [I]

Hi Liam,

Thank you for providing this documentation.

This is all that we need from the client.

We will send this form onto the validation team, and shall inform you if anything further is required.

Many thanks.

{cid:1__=4EBB0A91DFA51DB18f9e8a93df9386909@db.com}

Izzie Wong
Client Outreach

C00 Global Market Operations

Five Brindleyplace, B1 2JB Birmingham, United Kingdom
Tel. [REDACTED]
Email [REDACTED]

Deutsche Bank Birmingham

EFTA01406742

From: Liam Osullivan
Sent: 27 November 2017 14:37
To: FATCA Outreach <[REDACTED]>; Vahe Stepanian
<[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Izzie Wong <[REDACTED]>;
Davide-A Sferrazza <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

Classification: For internal use only

Hello,

I have attached the new W-9 that the client provided.

Do we need to request anything else from the client? As I mentioned in my earlier email the client does not believe that they need to complete the FACTA paperwork. They said for tax purposes they are considered a US entity

Thank you,

Liam

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

Liam O'Sullivan
AVP | Key Client Partners - US

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

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From: Liam Osullivan
Sent: Tuesday, November 21, 2017 4:48 PM
To: FATCA Outreach <[REDACTED]>; Vahe Stepanian <[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Izzie Wong <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812 [I]

Classification: For internal use only

Good afternoon,

The client came back and said they do not believe that they need to complete the FACTA paperwork. They said for tax purposes they are considered a US entity. They will provided us with a new W-9.

They said they have not been required to do this at the other firms where they have accounts.

Please advise.

Thank you,

Liam

From: Thomas Fadian On Behalf Of FATCA Outreach
Sent: Friday, November 17, 2017 5:50 AM
To: Vahe Stepanian <[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Izzie Wong <[REDACTED]>;
Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
<[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
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Hi Vahe,

Hope all is well.

With regard to the updated FATCA documents have you yet received a response from the client? If so, have they provided a time frame in which they expect to provide the updated docs?

Best regards,

{cid:image002.png@01D2A168.336F5250}

EFTA01406745

FATCA Outreach Team

Client Data Services | C00 Global Markets Operations

Deutsche Bank Birmingham
Five Brindleyplace, B1 2JB Birmingham, United Kingdom
Email [REDACTED]

From: Vahe Stepanian
Sent: 06 November 2017 18:33
To: FATCA Outreach <[REDACTED]>; Courteney B Fornal <[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

Classification: For internal use only

Ok – we requested both FACTA form and an updated W9 from the client.

From: Izzie Wong On Behalf Of FATCA Outreach
Sent: Friday, November 03, 2017 11:51 AM
To: Vahe Stepanian <[REDACTED]>; FATCA Outreach <[REDACTED]>; Courteney B Fornal <[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Liam Osullivan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

Hi Vahe,

EFTA01406746

We are requiring a W-Form for the entity in question. Please find below acceptable and unacceptable versions of said form:

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Please let me know if you require anything further.

Many thanks in advance.

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FATCA Outreach Team

Client Data Services | C00 Global Markets Operations

Deutsche Bank Birmingham
Five Brindleyplace, B1 2JB Birmingham, United Kingdom
Email [REDACTED]

From: Vahe Stepanian
Sent: 03 November 2017 14:44
To: FATCA Outreach <[REDACTED]>; Courteney B Fornal
<[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Liam Osullivan
<[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;
Izzie Wong <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

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Apologies for the delay in coming back. This wasn't actually part of the document package that was sent to the client. Can you please confirm all you

need is the attached form?

Thanks,

Vahe

From: Izzie Wong On Behalf Of FATCA Outreach
Sent: Friday, November 03, 2017 10:23 AM
To: Vahe Stepanian <[REDACTED]>; Courteney B Fornal
<[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Liam Osullivan
<[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;
Izzie Wong <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

Hi Vahe,

Any update regarding the below?

Many thanks.

{cid:image002.png@01D2A168.336F5250}

FATCA Outreach Team

Client Data Services | C00 Global Markets Operations

Deutsche Bank Birmingham
Five Brindleyplace, B1 2JB Birmingham, United Kingdom
Email [REDACTED]

From: Vahe Stepanian
Sent: 24 October 2017 17:48
To: Courteney B Fornal <[REDACTED]>; FATCA Outreach
<[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Liam Osullivan
<[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

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Removing Tazia – but I believe we just actually requested this from the client. We'll be back to you.

Thank you,

Vahe

From: Courteney B Fornal
Sent: Tuesday, October 24, 2017 12:03 PM
To: FATCA Outreach <[REDACTED]>
Cc: Thomas Fadian <[REDACTED]>; Vahe Stepanian
<[REDACTED]>; Tazia Smith <[REDACTED]>
Subject: RE: US FATCA Outreach - Client Email Contact Required - 1007406812
[I]

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Adding in the relationship managers Tazia & Vahe

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

Courteney Fornal

EFTA01406749

Global Markets Complex Equity

Deutsche Bank Securities Inc.
60 Wall Street

New York, NY 10005-2836

Direct [REDACTED]

Desk [REDACTED]

Fax [REDACTED]

Email [REDACTED]

eDisclaimer

<http://onn.theocc.com/publications/risks/riskstoc.pdf>

From: Thomas Fadian On Behalf Of FATCA Outreach
Sent: Tuesday, October 24, 2017 10:43 AM
To: Courteney B Fornal
Cc: Thomas Fadian
Subject: US FATCA Outreach - Client Email Contact Required - 1007406812 [I]

Classification: For internal use only

Dear Courteney,

As per our internal records and the past trading relationship information we have, you appear to hold a Front Office relationship with the following client(s):

Counter Party CRDS ID

Client_Name

UP CRDS ID

EFTA01406750

UP CRDS Name

Booking Entity

██████████
Strategic Equities Transactions Group - Deutsche Bank Securities Inc

██████████
Southern Financial, LLC

DB AG (London)

We are required to reach out to the above client(s) to obtain FATCA tax documentation, as these client accounts were not included as part of the original FATCA PADD outreach exercise. Can you provide us with a suitable client email address and/or telephone number for us to send our standard communication?

If you are not the correct contact then please advise and we will update our records accordingly. Alternatively, let us know if you would prefer to contact the client yourself.

Due to the size of the remediation exercise we may be required to contact you in the future regarding other clients you have a relationship with, we are attempting to keep this to a minimum.

If any of the above is unclear please do not hesitate to respond.

Many thanks in advance for your assistance.

{cid:image002.png@01D2A168.336F5250}

FATCA Outreach Team

Client Data Services | C00 Global Markets Operations

Deutsche Bank Birmingham
Five Brindleyplace, B1 2JB Birmingham, United Kingdom

Email [REDACTED]