

Subject: RE: Tonelle -> Autobahn/Realtick [I]

From: Davide-A Sferrazza <[REDACTED]>

Date: Mon, 26 Feb 2018 19:02:00 -0500

To: Billy Obregon <[REDACTED]>

Classification: For internal use only

FYI – we are working to figure out what is going on here, but seems nobody in GM can answer the question.

Having these same “red list” issues today with Southern Financial too...

From: Billy Obregon

Sent: Monday, February 26, 2018 7:00 PM

To: Bettina-a Schneider <[REDACTED]>

[REDACTED]

Subject: Tonelle -> Autobahn/Realtick

Importance: High

Hi Bettina,

I hope you are doing well.

Today Tonelle through the team at Optimist contacted us in NY because they were not able to trade via autobahn as the account has been put in the red list.

Do you know if this was done as a result of the team refusing to get the LEI number?

As you can see per the email below, we have provided them all the

information to obtain the LEI number - Also, we provided all details to Gabriel who explained to Felipe Gulfi the need to get this done.

Can you please look into the system if the restriction is due to this issue with the LEI so at least we provide Tonelle and the team at Optimist the need to get this done ASAP.

Thank you in advance for your help.

Billy

From: Davide-A Sferrazza
Sent: Monday, February 26, 2018 11:49 PM
To: Sofia Varó [REDACTED]

[REDACTED]
Subject: Instructions to obtain an LEI Number

Hi Sofia,

Tatiana forwarded along the request regarding obtaining an LEI number – please refer to the attached instructions (note that an LEI number and CICI code are the same thing).

Please let us know if we can help with anything on this front. As discussed earlier, we are working to resolve the RealTick/Autobahn issues and will keep you updated accordingly.

Regards,
Davide

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Davide Sferrazza
Analyst | Key Client Partners

Deutsche Bank Securities, Inc.
Deutsche Bank Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. +1 [REDACTED]
Mobile [REDACTED]
Email d [REDACTED]