

Subject: RE: Annual EBC Notification-2019  
From: Stewart Oldfield <[REDACTED]>  
Date: Fri, 18 Jan 2019 09:45:29 -0500  
To: Richard Kahn <[REDACTED]>  
Bcc: [REDACTED],  
[REDACTED]

It's not asking you to do anything, just an annual notice. At some point we will terminate the ISDA and related DF docs.

Thanks

From: Richard Kahn [mailto:[REDACTED]]  
Sent: Friday, January 18, 2019 9:43 AM  
To: Stewart Oldfield <[REDACTED]>  
Subject: Fwd: Annual EBC Notification-2019

i assume this is irrelevant as well as we are exiting bank..

please advise

thanks

Richard Kahn  
HBRK Associates Inc.  
575 Lexington Avenue 4th Floor  
New York, NY 10022  
tel [REDACTED]  
fax [REDACTED]  
cell [REDACTED]

Begin forwarded message:

From: DF Protocol <[REDACTED]>

Subject: Annual EBC Notification-2019

Date: January 17, 2019 at 5:32:43 PM EST

To: DF Protocol <[REDACTED]>

Dear Valued Client,

Please see the attached important reminder regarding the Deutsche Bank Dodd-Frank Resource Centre([www.db.com/doddfrank](http://www.db.com/doddfrank)) and certain disclosures that Deutsche Bank as a registered swap dealer is required to provide to US-Person counterparties when entering into swap transactions. If you are an agent, you are being sent this notice on behalf of all accounts, clients, funds, investors and/or other principals that you represent and that are US-Person counterparties of Deutsche Bank.

Thanks & Regards,

DF Protocol

Dodd Frank – Regulatory Operations

Tel: [REDACTED] | Email: [REDACTED]

Escalation/Feedback Contacts: Email: [REDACTED]

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