

G&E Counterparts

Gifts / Entertainment Multiple Counterparts Template
(for requests involving more than 10 counterparts)

Note:

Austria - If it is a PWM client, do not disclose name of individual Counterpart. All Users from Austria, please add Client ID to 'Last Name' column

Channel Islands - Do not disclose name of individual Counterpart

Luxembourg, Malaysia, and Switzerland - Do not disclose name of individual Counterpart and organization name of Counterpart

Columns K, L: "Pending Business": Please indicate any upcoming transactions to the best of your knowledge. Pending business is closure of the deal, extension of a business, termination of a contract or other legally binding relationship with the counterpart or the third person.

#	Last Name	First Name	Middle Name (Optional)	Organization Name	Country	Organization Type	Type of relationship with the counterpart	Are you aware of any pending business of DB With Counterpart?	Details according pending business	Are you aware of any G&E that was exchanged between Deutsche Bank and any of these Counterparts in the last 12 months?	Details about offered / received G&E	Comment
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1	Sahay	Rudy		54 Madison Partners, LLC	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/ Billy Joel	Attended Billy Joel.	Did not attend Frieze
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2	Gabriel	James		55 Madison Partners, LLC	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/ Billy Joel	Attended Billy Joel.	Did not attend Frieze
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3	Murzyn	Eric		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/ Billy Joel	Attended Billy Joel.	Did not attend Frieze
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4	Wechsler	Brad		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/ Billy Joel/Napa	Attended Billy Joel.	Did not attend Frieze or Napa
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5	Black	Leon		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	No			
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6	Carpenter	Scott		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/Napa	Offered Frieze and did not attend.	Napa still pending
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7	Lynch	Gene		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	No			
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8	Barry	Michael		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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9	Lindermann	Adam		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	No	Frieze NYC/London	Attended Frieze London and NYC	
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10	Lindermann	George		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	No	Frieze NYC/Jackson Hole	Did not attend	
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11	Marron	Don		Marron Capital	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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12	Meister	Todd		Meister Company LLC	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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13	Montrone	Katherine		Latona Associates	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Attended Frieze NYC	
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14	Chai	Chuck		Hillspire	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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15	Caska	Amber		Hillspire	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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16	Snyder	Dan		Washington Redskins	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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17	Schreiber	Karl		Washington Redskins	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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18	Gold	Stan		Shamrock Capital	USA	Individual/Retail	prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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19	Martin	Greg		Shamrock Capital	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC and Hockey Game	Attended Hockey game, not Frieze	
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20	Slome	Ian		Slome Capital	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC	Did not attend	
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21	Epstein	Jeffrey		J. Epstein Virgin Islands Foundation, Inc	USA	Individual/Retail	Existing Client (>3 months)	No	No			
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22	Britton	Charles		Private Investor	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	US Open/Napa	Offered US Open and did not attend.	Napa still pending
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23	Jones	Ken		Third Lake Capital	USA	Individual/Retail	prospective/New Client (<3 months)	No	Yes	Napa	Napa still pending	
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24	Wanek	Ron		Private Investor	USA	Individual/Retail	Existing Client (>3 months)	No	No			
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25	Bloom	Barry		Tish Financial Management	USA	Individual/Retail	Prospective/New Client (<3 months)	No	Yes	Frieze NYC/ Billy Joel/Napa	Attended Billy Joel.	Did not attend Frieze or Napa
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26	Warner	Steve		Private Investor	USA	Individual/Retail	prospective/New Client (<3 months)	No	No			
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27	Mitra	Bonnie		Private Investor	USA	Individual/Retail	prospective/New Client (<3 months)	No	No			
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28	Kern	Jonathan		Private Investor	USA	Individual/Retail	Prospective/					
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New Client (<3 months)	No	No						
29	Vaid	Rahul	Private Investor		USA	Individual/Retail	Prospective/New Client (<3 months)	No
30	Anderson		Frohman Everwatch Capital		USA	Individual/Retail	Prospective/New Client (<3 months)	No
New Client (<3 months)	No	Yes	Frieze NYC			Did not attend		
31	Wonble	Matt	Private Investor		USA	Individual/Retail	Prospective/New Client (<3 months)	No
32	Boies	Chris	Private Investor		USA	Individual/Retail	Existing Client (>3 months)	No
33	Bills	Michael	Private Investor		USA	Individual/Retail	Prospective/New Client (<3 months)	No
34	Merrins	Brian	Bluestern LLC		USA	Individual/Retail	Prospective/New Client (<3 months)	No
35	Homrich	David	Arthur Blank		USA	Individual/Retail	Prospective/New Client (<3 months)	No
36	Warren	Glen	Yorktown Partners		USA	Individual/Retail	Prospective/New Client (<3 months)	No
37	Campf	Darren	Private Investor		USA	Individual/Retail	Prospective/New Client (<3 months)	No
38	Bulloch	Roger	Private Investor		USA	Individual/Retail	Prospective/New Client (<3 months)	No
39	Burritt	Jim	Pacific Private Fund Advisors LLC		USA	Individual/Retail	Prospective/New Client (<3 months)	No
40	Ellin	Howard	Private Investor		USA	Individual/Retail	Existing Client (>3 months)	No
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Column H "Type of relationship with the counterpart": "Established clients": Clients where your desk has an established business relationship lasting for more than 3 months.

Afghanistan
Albania
Algeria
Andorra
Angola
Antigua and Barbuda
Argentina
Armenia
Australia
Sensitive Counterpart (Eg. Public Official) Regulatory/Supervisory Agency Austria
Yes Public Officials (US only) Prospective/New Client (<3 months) Azerbaijan
No Corporate Prospective/New Vendor (<3 months) Bahamas
Family Member Existing Client (>3 months) Bahrain
Government Entity Existing Vendor (>3 months) Bangladesh
Government Owned Entity Other Barbados
Institutional NA Belarus
Individual/Retail Interdealer Broker Belgium
Vendor Belize
ERISA related (US only) Benin
Union or Union-related Official (US only) Bhutan
Interdealer Broker Bolivia
Bosnia and Herzegovina
Botswana
Brazil
Brunei
Bulgaria
Burkina Faso
Burundi
Cambodia
Cameroons
Canada
Cape Verde
Cayman Islands
Central African Republic
Chad
Channel Islands
Chile
China
Colombia
Comoros
Congo-Democratic Republic
Congo-Republic
Costa Rica
Croatia
Cuba
Cyprus
Czech Republic
Denmark
Djibouti
Dominica

Dominican Republic
East Timor / Timor-Leste
Ecuador
Egypt
El Salvador
Equatorial Guinea
Eritrea
Estonia
Ethiopia
Fiji
Finland
France
Gabon
Gambia
Georgia
Germany
Ghana
Greece
Grenada
Guatemala
Guinea
Guinea-Bissau
Guyana
Haiti
Honduras
Hong Kong
Hungary
Iceland
India
Indonesia
Iran
Iraq
Ireland
Israel
Italy
Ivory Coast
Jamaica
Japan
Jordan
Kazakhstan
Kenya
Kiribati
Kosovo
Kuwait
Kyrgyzstan
Laos
Latvia
Lebanon
Lesotho
Liberia
Libya
Liechtenstein
Lithuania
Luxembourg
Macedonia
Madagascar
Malawi
Malaysia
Maldives
Mali
Malta
Marshall Islands
Mauritania
Mauritius
Mexico
Micronesia
Moldova
Monaco
Mongolia
Montenegro
Morocco
Mozambique
Myanmar
Namibia
Nauru
Nepal
Netherlands
New Zealand
Nicaragua

Niger
Nigeria
North Korea
Norway
Oman
Pakistan
Palau
Palestine
Panama
Papua New Guinea
Paraguay
Peru
Philippines
Poland
Portugal
Qatar
Romania
Russia
Rwanda
Samoa
San Marino
Sao Tome and Principe
Saudi Arabia
Senegal
Serbia
Seychelles
Sierra Leone
Singapore
Slovakia
Slovenia
Solomon Islands
Somalia
South Africa
South Korea
South Sudan
Spain
Sri Lanka
St. Kitts and Nevis
St. Lucia
St. Vincent and the Grenadines
Sudan
Suriname
Swaziland
Sweden
Switzerland
Syria
Taiwan
Tajikistan
Tanzania
Thailand
Togo
Tonga
Trinidad and Tobago
Tunisia
Turkey
Turkmenistan
Tuvalu
Uganda
UK (United Kingdom)
Ukraine
United Arab Emirates
Uruguay
USA
Uzbekistan
Vanuatu
Vatican city
Venezuela
Vietnam
Yemen
Zambia
Zimbabwe
For internal use only

Sheet2

Organizational type	Pending business	Relationship type	Category of Gift or Entertai
Government Entity	Yes	Established client	Yes
Institutional	No	Prospective client	No
Public Official	New client	Entertainment	JPY
PWM client	Vendor		
Retail	Family member		
State Owned Entity			
Vendor			
Workers Council Member			
For internal use only			