

Subject: FW: SFLLC - FACTA Tax Documentation [C]  
From: Liam Osullivan <[REDACTED]>  
Date: Wed, 18 Apr 2018 14:13:55 -0400  
To: Stewart Oldfield <[REDACTED]>  
Cc: Davide-A Sferrazza <[REDACTED]>,  
Martin Zeman <[REDACTED]>

Classification: Confidential

From: Richard Kahn [mailto:[REDACTED]]  
Sent: Friday, November 17, 2017 4:14 PM  
To: Liam Osullivan <[REDACTED]>  
Subject: Re: SFLLC - FACTA Tax Documentation [C]

hopefully early next week

thanks

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

On Nov 17, 2017, at 4:13 PM, Liam Osullivan <[REDACTED]> wrote:

Classification: Confidential

Hello Richard,

I just wanted to follow up on the FACTA Tax Documentation. Do you have a time frame in which you expect to be able to provide the documents?

Thank you,

Liam

From: Liam Osullivan  
Sent: Wednesday, November 08, 2017 12:21 PM  
To: 'Richard Kahn' <[REDACTED]>  
Cc: 'Paul Barrett' <[REDACTED]>  
<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A  
Sferrazza <[REDACTED]>; Vahe Stepanian  
<[REDACTED]>; Joshua Shoshan <[REDACTED]>  
Subject: FW: SFLLC - FACTA Tax Documentation [C]

Classification: Confidential

Richard,

Please see below for more details on our FACTA request.

EFTA01435814

Thank you,

Liam

## FATCA

US tax regulations, including the Foreign Account Tax Compliance Act (FATCA), require Deutsche Bank AG and its affiliates ('Deutsche Bank') to review and update the US tax information held on file for its existing clients.

What this means for you

We have reviewed the account information held on file and due to one of the reasons listed below, you are required to furnish us with a US tax form:

US tax form provided has expired  
US tax form has failed validation  
Missing or incorrect documentation

Please review the list of your accounts below and return the appropriate tax form(s) to us within 14 days via email to: [Outreach-FATCA@db.com](mailto:Outreach-FATCA@db.com). In your response please be sure to include the legal entity name and DB reference number(s).

DB Reference Number

Legal Entity Name

DB Entity

1007406812

Southern Financial, LLC

DB AG (London)

Once we have reviewed your form(s) we will contact you if any additional information is required. If you provide a single US tax form we will apply it to all the accounts referenced in this letter unless you specify otherwise.

If you are not able to provide us with a US tax form, please inform us of the reason by replying to the email address above or by contacting your Deutsche Bank Relationship Manager.

Failure to provide a form may cause your account(s) to be subject to US tax withholding and/or reporting.

US Forms:

US persons should provide a US tax form W-9. If you are not a US person you should provide one of the forms listed below. You can download the applicable forms and instructions from the IRS website at [www.irs.gov](http://www.irs.gov).

US Tax Form

Description

W-8BEN

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

W-8BEN-E

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

W-8ECI

Certificate of Foreign Person's Claim That Income Is Effectively Connected With the Conduct of a Trade or Business in the United States

W-8IMY

Certificate of Foreign Intermediary, Foreign Flow-Through Entity, or  
Certain US Branches for United States Tax Withholding and Reporting

W-8EXP

Certificate of Foreign Government or Other Foreign Organization for United  
States Tax Withholding and Reporting

Please consult your tax advisor regarding the appropriate form(s) to provide and how to complete them. If you have any non-tax questions, please consult with your Deutsche Bank Relationship Manager. If you have accounts with multiple Deutsche Bank entities, you may receive additional requests for information.

For tracking purposes please ensure you quote the DB ID in the title of your emailed reply.

Thank you for your cooperation.

Yours faithfully,  
FATCA Outreach Team

Client Data Services | C00 Global Markets Operations

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

From: Liam Osullivan  
Sent: Monday, November 06, 2017 10:26 AM  
To: 'Richard Kahn' <[REDACTED]>  
Cc: 'Paul Barrett' <[REDACTED]>  
<[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A  
Sferrazza <[REDACTED]>; Vahe Stepanian  
<[REDACTED]>; Joshua Shoshan <[REDACTED]>  
Subject: SFLLC - FACTA Tax Documentation [C]

Classification: Confidential

Rich,

We are required to obtain the attached FACTA tax documentations for the Southern Financial LLC account.

Thank you,

Liam

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<image001.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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