
From: Jay Lipman [REDACTED]
Sent: 3/13/2014 3:55:55 PM
To: Amanda Kirby [REDACTED]
CC: Paul Morris [REDACTED]; Tazia Smith [REDACTED]
Subject: TOMS Capital - Onboarding Package [I]
Attachments: Q_-_Qualified_Institutional_Buyer_Certification_Letter.pdf; ISDA Preliminary Requirements - Collection Sheet.docx; Account Agreement.pdf; Corporate Information Form.pdf; FX Agency Direction Letter.pdf; Options Account Agreement.pdf; Structured Products New Agreement and Approval Form.pdf; After Hours Authorization Letter.pdf; Email_Waiver_Letter.pdf; pic14769.gif; pic06392.gif; pic30721.gif; pic30329.gif; pic12742.gif

Classification: For internal use only

Amanda,

Attached, please find the necessary paperwork to begin the Capital Markets on-boarding process with the Key Client Partners (KCP). I have included completion instructions below and highlighted relevant areas on the forms. In addition to the completed paperwork, we will also need:

- 1) Current copies of ID's for all Authorized Individuals
- 2) Executed Operating Agreement (that identifies trading authority and ownership breakdown)
- 3) Certificate of Good Standing (dated within past year)

Please do not hesitate to let me know if you have any questions.

KCP Documents

QIB Letter (not required but recommended) - All information at the end of pg 2 must be completed and signed. One required for Each entity

(See attached file:
Q_-_Qualified_Institutional_Buyer_Certification_Letter.pdf)

ISDA Requirements

In order for us to progress with providing an ISDA for the client, please ensure that all the information requested in the attached document is provided. We do not recommend sending this document to the client, as the client information form will provide much of it. As such, please provide the rest of the information.

(See attached file: ISDA Preliminary Requirements - Collection Sheet.docx)

Capital Markets Documents Completion Instructions:

-Account Agreement - Please complete highlighted areas on pgs. 1, 6, 7, 14, and 15

-Electronic Consent Form - Please complete highlighted areas and sign/date bottom of form

-Corporate Information Sheet - Please complete ALL highlighted areas

-FX Agency Direction Letter - Please sign/date bottom of form

-Options Agreement - Please complete highlighted areas, sign/date pg.2 and initial pg. 3

-Structured Products Approval - Please complete highlighted areas and sign/date pg. 3

-After Hours - Please sign the last page of the document

-Email Waiver Letter - Please Sign the Client Section

(See attached file: Account Agreement.pdf)(See attached file: Corporate Information Form.pdf)(See attached file: FX Agency Direction Letter.pdf)(See attached file: Options Account Agreement.pdf)(See attached file: Structured Products New Agreement and Approval Form.pdf)(See attached file: After Hours Authorization Letter.pdf)(See attached file: Email_Waiver_Letter.pdf)

Kind Regards,

Jay Lipman

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