

Subject: TOMS Capital - Onboarding Package [I]

From: Jay Lipman <[REDACTED]>

Date: Thu, 13 Mar 2014 15:55:55 -0400

To: Amanda Kirby <[REDACTED]>

Cc: Paul Morris <[REDACTED]> ,

Tazia Smith <[REDACTED]>

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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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Jay Lipman  
Analyst I Key Client Partners

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From: Tazia Smith/db/-  
[REDACTED]

To: Jay Lipman/db/-  
[REDACTED],

Date: 02/03/2014 10:01  
PM

Subject: Re: New Capital Markets Flow Client - Onboarding Package  
[I]

EFTA01467718

Classification: For internal use only

Let's revisit our checklist? Get Joerg and all back involved?

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Tazia Smith  
Director | Key Client Partners - US

Deutsche Bank Securities Inc  
Deutsche Asset & Wealth Management  
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From: Jay Lipman/db/-  
[REDACTED]

To: Kevin Quinn/db/-  
[REDACTED],

Cc: [REDACTED], Tazia Smith/db/-  
[REDACTED]

Date: 01/25/2014 03:59

PM

Subject: Re: New Capital Markets Flow Client - Onboarding Package  
[I]

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Hi Kevin,

I agree that we should put together on-boarding packets for each type of client, I will take ownership of these and work on putting them together.

With regards to client set up for Capital Markets trading, thus far I have only been involved on the AWM/PCS side (i.e. options, SP's, FX). As such, I do not have the extensive list of what would be required for Autobahn/CB&S set up. I will reach out to the appropriate parties downtown to get this information and provide it as soon as I have it. Thanks Kev

Kind Regards,

Jay Lipman

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Jay Lipman  
Analyst I Key Client Partners

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345 Park Avenue, 10154-0004 New York, NY, USA  
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From: Kevin Quinn/db/-  
[REDACTED]

To: Jay Lipman/db/-  
[REDACTED],

Cc: Tazia Smith/db/[REDACTED], [REDACTED]  
[REDACTED]

Date: 01/24/2014 01:31  
PM

Subject: New Capital Markets Flow Client - Onboarding Package  
[I]

Classification: For internal use only

Jay,

We will be setting up a new client to trade capital markets in KCP. Would be good to have a full set-up kit ready for these types of clients. Can you prepare a list of requirements? Cash, options, futures, CB&S, autobahn etc. I will review with you afterwards and then we can aggregate all paperwork and basic KYC requirements.

Believe you have all this from Epstein. Please at least provide the list today. Let me know if you have any questions.

Kevin

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Kevin Quinn

EFTA01467721

Associate | Key Client Partners - US

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