

Subject: Fw: New Capital Markets Flow Client [I]
From: Paul Morris <[REDACTED]>
Date: Wed, 30 Apr 2014 17:54:48 -0400
To: Amanda Kirby <[REDACTED]>

Classification: For internal use only

Paul Morris
Managing Director
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----- Forwarded by Paul Morris/db/dbcom on 04/30/2014 05:54 PM -----

From: Tazia Smith/db/dbcom
To: Paul Morris,
Date: 04/30/2014 12:28 PM
Subject: Fw: New Capital Markets Flow Client [I]

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this to go through physical delivery, per our conversation....

----- Forwarded by Tazia Smith/db/dbcom on 04/30/2014 12:27 PM -----

From: Jay Lipman/db/dbcom
To: Tazia Smith [REDACTED], Vahe Stepanian [REDACTED]
s,
Date: 04/30/2014 11:13 AM
Subject: New Capital Markets Flow Client [I]

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Team, let me know your thoughts. Cheers

Hi XXX,

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.

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

KCP Documents

KCP Non-Advisory Letter - Please Insert signers name and complete form.

(See attached file: KCP Non-Advisory Letter (Tazia Smith).docx)

Finra 2111 Suitability Form

(See attached file: Institutional Suitability Certificate.pdf)

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

(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:

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

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

-Uncovered Options Writing - Please complete highlighted sections

-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

-IPO Form - Please check applicable boxes in Sections A + B, and sign/date top of pg. 2

-Prime Brokerage Agreement

(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) (See attached file:

Rule 5131 IPO Form.pdf) (See attached file: Prime Brokerage Agreement.pdf) (See

attached file: Uncovered Options Writing.pdf)

Kind Regards,

Jay Lipman

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Jay Lipman
Analyst I Key Client Partners

DB Securities Inc
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
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From: Tazia Smith/db/dbcom

To: Jay Lipman [REDACTED]

Date: 02/03/2014 10:01 PM

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

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

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From: Jay Lipman/db/dbcom

To: Kevin Quinn, [REDACTED]

Cc: [REDACTED] Tazia Smith, [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

DB Securities Inc
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
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Email [REDACTED]

From: Kevin Quinn/db/dbcom

To: Jay Lipman [REDACTED]

Cc: Tazia Smith [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
Associate | Key Client Partners - US

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