

Subject: Fw: Dodd Frank Initial Margin Segregation Rule Nov 3rd Deadline - Step 1 [C]

From: Amanda Kirby <[REDACTED]>

Date: Thu, 30 Oct 2014 09:00:11 -0400

To: Ian Hearn <ian.hearn@db.com>

Cc: DeAWM-WM DerivativeDocs <[REDACTED]> ,

Paul Morris <[REDACTED]> ,

Vahe Stepanian <[REDACTED]>

Classification: Confidential

Ian,

Please see attached

Best,
Amanda Kirby

(Embedded image moved to file: pic15401.gif)

Amanda Kirby

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

(Embedded image moved to file: pic31667.gif)

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----- Forwarded by Amanda Kirby [REDACTED] on 10/30/2014 08:59 AM -----

From: Darren Indyke
<[REDACTED]>

To: Amanda Kirby [REDACTED]-
[REDACTED],

Date: 10/29/2014 06:13
PM

EFTA01471520

Subject: Re: Dodd Frank Initial Margin Segregation Rule Nov 3rd
Deadline - Step 1
[C]

Please see attached. Thanks.

DARREN K. INDYKE
DARREN K. INDYKE, PLLC
575 Lexington Avenue, 4th Floor
New York, New York 10022
Telephone: [REDACTED]
Telecopier: [REDACTED]
Mobile: [REDACTED]
email: [REDACTED]

(See attached file: Collateral Contact Documents for STC and SF LLC SHBRK
Scann14102917400.pdf)

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On Oct 29, 2014, at 5:04 PM, Amanda Kirby <[REDACTED]> wrote:

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Darren -- Compliance reminded me that we also need these forms for the Dodd Frank ruling. Please fill out/sign and return. Let me know if you have any questions

Best,
Amanda Kirby

<Mail Attachment.gif>

Amanda Kirby

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
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<Mail Attachment.gif>

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----- Forwarded by Amanda Kirby [REDACTED] on 10/29/2014 05:02 PM -----

From: Amanda Kirby [REDACTED]-
[REDACTED]

To: [REDACTED],
[REDACTED],

Cc: Paul Morris [REDACTED], Vahe Stepanian [REDACTED]-
[REDACTED]

Date: 10/21/2014 03:16
PM

Subject Dodd Frank Initial Margin Segregation Rule Nov 3rd Deadline - Step
1
:
[C]

Classification: Confidential

Darren/Rich,

Per our conversation please see the below. I will need one copy for Southern Trust and one for Southern Financial This is part one. I will be sending over part two shortly.

We are reaching out to you in regards to CFTC's ruling on Segregated Initial Margin. In November 2013, the CFTC published its final requirements that all swap dealers and major swap participants must notify their clients of their right to require segregation of margin (other than variation margin) for uncleared swap transactions. The new regulation became effective on January 6, 2014 and requires all "new counterparties" of a swap dealer or major swap participant as of this date to comply with the regulation by May 5, 2014. For market participants that we're existing counterparties on or prior to January 6th, 2014, the compliance date is November 3, 2014.

to In order to provide the delivery of notices to the required personnel, as defined by the CFTC Regulation, and to avoid potential trading disruptions, please provide your Responsible Officer information by completing the attached template as soon as possible and returning it your sales representative.

the If you are not the correct contact for this email, kindly forward to appropriate contact at your organization. If you have any questions, please feel free to contact me.

Best,
Amanda Kirby

<Mail Attachment.gif>

Amanda Kirby

Deutsche Bank Trust Company Americas

EFTA01471523

Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
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Approved IA Seg Advisory (DB) WM Americas 4.8.14 revised

8.19.14.doc><ST

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