

**From:** Tazia Smith <[REDACTED]>  
**To:** "jeffrey E." <jeevacation@gmail.com>  
**Cc:** Daniel Sabba <[REDACTED]>, Paul Morris <[REDACTED]>, Richard Kahn <[REDACTED]>, Stewart Oldfield <[REDACTED]>, Vahe Stepanian <[REDACTED]>

**Subject:** Re: [C]

**Date:** Wed, 29 Oct 2014 17:16:41 +0000

**Inline-Images:** unnamed; unnamed(1); unnamed(2); unnamed(3); unnamed(4); unnamed(5); unnamed(6); unnamed(7); unnamed(8); unnamed(9); unnamed(10); unnamed(11); unnamed(12)

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Classification: Confidential

Jeffrey - Thus far you have bought 72,700 shares of Citi 5.8% pfd at \$24.23238. Please let us know if you want to modify.

TDS

**From:** Tazia Smith/db/dbcom  
**To:** "jeffrey E." <jeevacation@gmail.com>,  
**Cc:** Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Stewart Oldfield/db/dbcom@DBAMERICAS, Vahe Stepanian/db/dbcom@DBAMERICAS  
**Date:** 10/29/2014 10:57 AM  
**Subject:** Re: [C]

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Classification: Confidential

Jeffrey - Just tried your cell. You are done on 36,600 at \$24.22315. Do you want to pull back the throttle by reducing the total share for today's order or using a limit? Please let us know.



**From:** Tazia Smith/db/dbcom  
**To:** "jeffrey E." <jeevacation@gmail.com>@DEUBAINT,  
**Cc:** Richard Kahn <[REDACTED]>, Daniel Sabba/db/dbcom@DBAMERICAS, Vahe Stepanian/db/dbcom@DBAmericas, Paul Morris, Stewart Oldfield/db/dbcom@DBAMERICAS  
**Date:** 10/29/2014 10:02 AM  
**Subject:** Re: [C]

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Classification: Confidential

Jeffrey - done on 14,900 at 24.19. The size of the vwap order is lifting this bid. Suggest we work just 30-50k shares total on

the day. Please let us know.

From: "jeffrey E." <jeevacation@gmail.com>  
To: Tazia Smith/db/dbcom@DBAMERICAS, Richard Kahn <[REDACTED]>,  
Date: 10/29/2014 08:43 AM  
Subject: Re: [C]

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vwap ok

On Wed, Oct 29, 2014 at 8:39 AM, Tazia Smith <[REDACTED]> wrote:  
Classification: Confidential

Good Morning Jeffrey - Re-enter order?  
Use limit and/or participate % volume?

Thanks,  
Tazia

From: Tazia Smith/db/dbcom  
To: "jeffrey E." <jeevacation@gmail.com>,  
Cc: Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Stewart Oldfield/db/dbcom@DBAMERICAS, Vahe Stepanian/db/dbcom@DBAMERICAS  
Date: 10/28/2014 04:14 PM  
Subject: Trade Report 10/28/14 [C]

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Classification: Confidential

Jeffrey -

Today you executed the following:

**B 49,033 Citi 5.8% pfd at \$24.0205**

This leaves 150,967 shares to buy. **Re-enter tomorrow?**  
Your other Citi pfd is held in **Haze**. Would you like this booked there as well?

Thank You,  
Tazia

EFTA00999784



## Tazia Smith

Director | Key Client Partners - US

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Tel. [REDACTED]  
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From: Tazia Smith/db/dbcom  
To: "Jeffrey E." <[jeevacation@gmail.com](mailto:jeevacation@gmail.com)>,  
Cc: Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Stewart Oldfield/db/dbcom@DBAMERICAS, Vahe Stepanian/db/dbcom@DBAMERICAS  
Date: 10/28/2014 02:24 PM  
Subject: Re: [C]

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Classification: Confidential

Jeffrey - Thus far done on 36,300 Citi 5.8% pfd at \$23.9964. Participating 25% of the volume now. Please let us know if you would like us to be more aggressive. Not enough volume to get done on 200k in one day.

Tazia



**VWAP from time of Order Entry: \$24.0117**



## Tazia Smith

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From: Tazia Smith/db/dbcom  
To: "Jeffrey E." <[jevacation@gmail.com](mailto:jevacation@gmail.com)>,  
Cc: Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Stewart Oldfield/db/dbcom@DBAMERICAS, Vahe Stepanian/db/dbcom@DBAMERICAS  
Date: 10/28/2014 01:11 PM  
Subject: Re: [C]

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Classification: Confidential

Jeffrey - thus far done on 35,100 Citi 5.8% pfd at \$23.9945 working at 24.05 so to continue to participate. given low avg daily volume, unlikely we would get it all 200k done in one day, so working not to push price. please come back to me if you want to be more aggressive.

Thanks!  
Tazia



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To: "Jeffrey E." <[jeevacation@gmail.com](mailto:jeevacation@gmail.com)>,  
Cc: Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Vahe Stepanian/db/dbcom@DBAMERICAS, Stewart Oldfield/db/dbcom@DBAMERICAS  
Date: 10/28/2014 11:36 AM  
Subject: Re: [C]

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Classification: Confidential

Jeffrey - Thus far you have purchased 34,900 shares of Citi 5.8% pfd at \$23.9945; the pfd is presently \$24, we're working aggressively at that level. Please let us know if you want us to bid higher.



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Cc: Daniel Sabba/db/dbcom@DBAMERICAS, Paul Morris, Richard Kahn <[REDACTED]>, Vahe Stepanian/db/dbcom@DBAMERICAS  
Date: 10/28/2014 11:06 AM  
Subject: Re: [C]

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Classification: Confidential

Jeffrey - How aggressive do you want us to be? Buying 200k shares, Citi 5.8% pfd has traded 15.6k shares this morning, 28k dailyavg. Do you want to give us a limit?

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**Tazia Smith**

Director | Key Client Partners - US

DB Securities Inc  
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To: "jeffrey E." <[jeevacation@gmail.com](mailto:jeevacation@gmail.com)>@DEUBAINT,  
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Date: 10/28/2014 10:57 AM  
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Classification: Confidential

Citi 5.8% Perpetual Preferred (cusip: 172967366) , trading ~23.92, buying \$5mm worth. got it.

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## Tazia Smith

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To: Tazia Smith/db/dbcom@DBAMERICAS, Richard Kahn <[REDACTED]>,  
Date: 10/28/2014 10:54 AM  
Subject:

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buy \$5MM of this issue.

**Citi 5.80% PFD**

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please note

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