

Subject: RE: Please advise if we need to retain [I]
From: Alan Brody <[REDACTED]>
Date: Wed, 16 Jan 2019 20:29:15 -0500
To: Billy Obregon <[REDACTED]>,
Nina Tona <[REDACTED]>,
Davide-A Sferrazza <[REDACTED]>,
Joshua Shoshan <[REDACTED]>,
Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>,
Ian Salters <[REDACTED]>

I am fine with Martin as ACO as long as he is.

Alan Brody
Managing Director | Head of KCP Americas Global Investments & Trading

Deutsche Bank Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
p. [REDACTED]
e. [REDACTED]

From: Billy Obregon <[REDACTED]>
Date: Wednesday, Jan 16, 2019, 5:44 PM
To: Nina Tona <[REDACTED]>, Davide-A Sferrazza <[REDACTED]>
[REDACTED], Joshua Shoshan <[REDACTED]>, Martin Zeman
<[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>, Ian Salters
<[REDACTED]>, Alan Brody <[REDACTED]>
Subject: RE: Please advise if we need to retain [I]

Classification: For internal use only

I think for all offshore Martin should be the ACO if that is permitted or Alan if it must be a MD.

That said, I will let Alan decide how he wants to proceed for ACOs.

Billy

From: Nina Tona
Sent: Wednesday, January 16, 2019 5:38 PM
To: Billy Obregon <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>
[REDACTED]; Joshua Shoshan <[REDACTED]>; Martin Zeman
<[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters
<[REDACTED]>; Alan Brody <[REDACTED]>
Subject: RE: Please advise if we need to retain [I]

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Hi Billy,

Kindly advise who should be ACO as we need to conduct a remediation KYC.

Thank you

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Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

Deutsche Bank Wealth Management

Tel. [REDACTED]

Email [REDACTED]

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From: Billy Obregon
Sent: Tuesday, January 15, 2019 3:59 PM
To: Davide-A Sferrazza <[REDACTED]>; Nina Tona <[REDACTED]>; Joshua Shoshan <[REDACTED]>; Martin Zeman <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters <[REDACTED]>; Alan Brody <[REDACTED]>
Subject: RE: Please advise if we need to retain [I]

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This is my input – please let me know if you agree:

[REDACTED]

WILLETT ADVISORS LLC

Don't know

[REDACTED]

DRAKE AURORA FUND

Offboard – client changed vehicle

[REDACTED]

COLINA INSURANCE LIMITED

Don't know

[REDACTED]
SOUTHERN FINANCIAL, LLC

Don't' know

[REDACTED]
MONEX INVERSIONES SA

Retain – we are amending ISDA

[REDACTED]
GAPSTOW CAPITAL PARTNERS LP

Don't know

[REDACTED]
BANCARD INTERNATIONAL INVESTMENT INC

Client is setting up new vehicle (this is the current president of Chile)

[REDACTED]
MONEX INVERSIONES SA

Retain – we are amending ISDA

[REDACTED]
SOUTHERN FINANCIAL, LLC

Don't know

[REDACTED]
CRE CAPITAL LLC

Don't' Know

[REDACTED]
MANTIQUEIRA OVERSEAS FUND LTD.

Retain – we trade actively (main account is Lepton)

[REDACTED]
DRAKE AURORA FUND

Offboard – client changed vehicle

[REDACTED]
TECHVIEW INVESTMENTS LTD.

Don't know

[REDACTED]
ICAHN ENTERPRISES L.P.

Don't know

[REDACTED]
W DE ARGENTINA - INVERSIONES S.A

Retain – this is the account for structure lending

From: Davide-A Sferrazza

Sent: Tuesday, January 15, 2019 3:48 PM

To: Nina Tona <[REDACTED]>; Joshua Shoshan <[REDACTED]>;

Martin Zeman <[REDACTED]>; Billy Obregon <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters

<[REDACTED]>; Alan Brody <[REDACTED]>

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Hi Nina,

Did these accounts show up on an offboard list?

Can you find out the rationale for each account (i.e. whether it is a remediation/commercially-driven offboard)?

Thank you.

Regards,
Davide

{cid:image001.gif@01D259D5.3E2DF0F0}

Davide Sferrazza
Analyst | Key Client Partners

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From: Nina Tona
Sent: Tuesday, January 15, 2019 3:38 PM
To: Joshua Shoshan <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>;
[REDACTED]; Martin Zeman <[REDACTED]>; Billy Obregon
<[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters
<[REDACTED]>; Alan Brody <[REDACTED]>
Subject: Please advise if we need to retain [I]

Classification: For internal use only

Hi All,

Please advise if you the below should be retained and if so provide ACO, rationale and client outreach (RR and RP).

[REDACTED]

WILLETT ADVISORS LLC

[REDACTED]
DRAKE AURORA FUND

[REDACTED]
COLINA INSURANCE LIMITED

[REDACTED]
SOUTHERN FINANCIAL, LLC

[REDACTED]
MONEX INVERSIONES SA

[REDACTED]
GAPSTOW CAPITAL PARTNERS LP

[REDACTED]
BANCARD INTERNATIONAL INVESTMENT INC

[REDACTED]
MONEX INVERSIONES SA

[REDACTED]
SOUTHERN FINANCIAL, LLC

[REDACTED]
CRE CAPITAL LLC

[REDACTED]
MANTIQUEIRA OVERSEAS FUND LTD.

[REDACTED]
DRAKE AURORA FUND

[REDACTED]
TECHVIEW INVESTMENTS LTD.

[REDACTED]
ICAHN ENTERPRISES L.P.

[REDACTED]
W DE ARGENTINA - INVERSIONES S.A

Thanks

Kind regards,

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Nina Tona

Associate

Business Control Manager, Key Client Partners – Americas

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