

Subject: RE: Uncleared OTC derivatives - RESPONSE REQUIRED [I]  
From: Cynthia Rodriguez [REDACTED]  
Date: Wed, 22 Feb 2017 10:03:54 -0500  
To: Anna-Sofiya Lupolover [REDACTED]  
Stewart Oldfield <[REDACTED]>  
Cc: Bradley Gillin [REDACTED]

Hi Anna,

Attached is the spreadsheet confirming Stew's response below. I have noted in the spreadsheet that both accounts are already closed, and responded that these accounts will obviously not be expected to trade and are okay to close (because they already are J ). Let us know if you need anything else. Thanks!

Kind regards,

Cynthia Rodriguez

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Cynthia Rodriguez  
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From: Anna-Sofiya Lupolover  
Sent: Tuesday, February 21, 2017 4:04 PM  
To: Stewart Oldfield  
Cc: Cynthia Rodriguez; Bradley Gillin  
Subject: Uncleared OTC derivatives - RESPONSE REQUIRED [I]

EFTA01419129

Classification: For internal use only

Hello,

A number of clients have been identified as having documents on file for trading uncleared OTC derivatives with DBAG (e.g., interest rate swaps, credit swaps, equity swaps, NDFs, FX Options, FX Forwards). Your attached list of clients has not traded in the past 6 months.

A new regulation which is effective March 1st, 2017 requires us to identify which of these clients we expect to trade uncleared OTC derivatives in the future. If you say no on the attached spreadsheet, nothing else will be required. If you select yes, Ellenoi Jarvis will review the Dodd Frank Protocol to see if the client can be exempted, at which point you will be informed what next steps are needed.

Since the regulation comes into effect on 3/1/17, we must have all research completed by then. We are now in a serious time crunch! At this point, please fill out the attached spreadsheet by 3PM tomorrow, 2/22/2017 by selecting yes or no for each client.

Thank you very much!

Kind Regards,

Anna-Sofiya

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