

Shaffer, Kathryn L. <kshaffer@ttc.gov>

**From:** H. [REDACTED]  
**Sent:** [REDACTED]  
**To:** Walsh, Kathryn L.; Berg, Katherine; Fettes, Michelle; Veselina, Shari; Kishin, Shmberg, Samuel I.; Six, Anne; Fetterman, Jo. Michelle  
**Subject:** [REDACTED]

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**From:** Whitehead, Nora <nwhitehead@ttc.gov>  
**Sent:** Thursday, July 14, 2017 3:59:48 PM  
**To:** [REDACTED]  
**Subject:** RE: Item 5(a) and natural person

Yes.

**From:** H. [REDACTED]  
**Sent:** Thursday, July 14, 2017 2:14:49 PM  
**To:** Walsh, Kathryn L.; Shaffer, Kathryn L. <kshaffer@ttc.gov>; Shmberg, Samuel I. <SSHEINBERG@ttc.gov>; Six, Anne <asix@ttc.gov>; Whitehead, Nora <nwhitehead@ttc.gov>; Fetterman, Jo. Michelle <mfetterman@ttc.gov>  
**Subject:** FW: Item 5(a) and natural person

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**From:** [REDACTED]  
**Sent:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** [REDACTED]

I had received information that UPE investment income under Item 5(a) for investments made through a LIS broker. Is that still the case if UPE resides outside the US, but still happens to be a US citizen?

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]