

## Sheinberg, Samuel I.

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**From:** HSRHelp  
**Sent:** Thursday, July 14, 2022 4:00 PM  
**To:** Walsh, Kathryn E.; Berg, Karen E.; Musick, Vesselina; Shaffer, Kristin; Sheinberg, Samuel I.; Six, Anne; Fetterman, Michelle  
**Subject:** FW: Item 5(a) and natural person

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**From:** Whitehead, Nora <nwhitehead@ftc.gov>  
**Sent:** Thursday, July 14, 2022 3:59:48 PM (UTC-05:00) Eastern Time (US & Canada)  
**To:** [REDACTED]  
**Cc:** HSRHelp <HSRHelp@ftc.gov>  
**Subject:** RE: Item 5(a) and natural person

Yes.

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**From:** HSRHelp <HSRHelp@ftc.gov>  
**Sent:** Thursday, July 14, 2022 1:49 PM  
**To:** Walsh, Kathryn E. <kwalsh@ftc.gov>; Berg, Karen E. <KBERG@ftc.gov>; Musick, Vesselina <vmusick@ftc.gov>; Shaffer, Kristin <kshaffer@ftc.gov>; Sheinberg, Samuel I. <SSHEINBERG@ftc.gov>; Six, Anne <asix@ftc.gov>; Whitehead, Nora <nwhitehead@ftc.gov>; Fetterman, Michelle <mfetterman@ftc.gov>  
**Subject:** FW: Item 5(a) and natural person

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**From:** [REDACTED]  
**Sent:** Thursday, July 14, 2022 1:48:39 PM (UTC-05:00) Eastern Time (US & Canada)  
**To:** HSRHelp <HSRHelp@ftc.gov>  
**Subject:** Item 5(a) and natural person

I had received guidance a few years ago that a natural person UPE who is also a foreign person would only need to report investment income under Item 5(a) for investments made through a US broker. Is that still the case if the natural person UPE resides outside the US, but still happens to be a US citizen?

[REDACTED]

[REDACTED]

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[REDACTED]