

Trading Fixed Income

HRM Rules applies- No

Supporting Document -NO

Check points:

- a. TAG verifies Cusip and holdings for the Security.
- b. For Trading Equity cases following comment should be there in description: "All security and account restriction review passed"
- c. If for buy trade balance is not sufficient in Global plus then we check incoming funds reason should be mentioned in the description.
- e. In case if the teas is created from account number [REDACTED] then approval from Jennifer Barker/Lisa Combatti/ Robert Deffense needs to be attached to the case.
- f. For cases created from account [REDACTED], following comment "all security and account restriction review passed" is not mandatory.

Note: In case of Trading Equity, Trading with field either can be DB Asset management Group (No Attachment is required) or DB Alex Brown (client signed letter is required)

- g. In case of Custody account : 1. For German clients, when EEA client type is "Retail" then only Accommodation Sell trades are permitted via US WM moreover TAG will need a copy of instructions from client and comment "Deutsche bank wealth management US order execution policy (accommodation trades German domiciled clients and execute cost information set to "client name" on "Date" at "Time"
2. For Non-German clients, when EEA client type is "Retail" then Buy/Sell of stocks and bonds are permitted.

Bill Payments :

Process Overview

For internal use only