

**From:** Stewart Oldfield [REDACTED]  
**Sent:** 7/30/2018 9:53:23 AM  
**To:** Sarah Rafferty [REDACTED]  
**Subject:** RE: Next steps: Napa Conference [I]

Thanks. When will you have the names for nextgen?

**From:** Sarah Rafferty  
**Sent:** Friday, July 27, 2018 10:13 AM  
**To:** Stewart Oldfield <[REDACTED]>  
**Subject:** Next steps: Napa Conference [I]

Classification: **For internal use only**

You nominated:

Brad	Wechsler
Brad	Briner
Kelly	Masuda
Greg	Martin
Ken	Jones
Robert	Forsythe
Frohman	Anderson
Matt	Womble
Glenn	Warren
Heather	Crosby
James	Burritt
Chuck	Chai
Paul	Barrett
George	Lindemann
Adam	Lindemann

See compliance pre-approval details below. If you have any questions, please let me know. **Please keep me apprised of clients that express interest in attending. Thanks.**

### **Compliance:**

**This is a high-priced event and requires compliance pre-approval. Compliance will ask you to confirm the following criteria:**

1. Attendees must only be connected to principals who are making decisions with respect to their own private wealth;
2. Attendees must not be family officers or trustees in respect to any funds/investments managed by DB;
3. Attendees must not be attending on behalf of principals who are public officials.
4. The attendees must not be involved in pending business decisions with DB (see below for further details):  
Pending Business - Clients: Pending business at time of invite is NOT OK (specific discussions pertaining to investment type and amount have occurred, and decision or action is pending with client). Clients: Prospective business is OK (general relationship building, positioning DB capabilities, new investment vehicles etc.) Prospects: Prospective business is OK (general relationships building, positioning DB capabilities) Prospects: Pending business/specific pitches at time of invite is NOT OK (discussion on moving assets from bank x to DB).

### **Parent ID – 3MAC**

**Cost per person if 1 person per hotel room - \$3,771.99 and if couple cost pp is \$3,056.61**