

Subject: Client tidy up [I]
From: Ian Salters <[REDACTED]>
Date: Wed, 29 May 2019 11:07:05 -0400
To: Davide-A Sferrazza <[REDACTED]>,
Liam Osullivan <[REDACTED]>
Cc: Ian Salters <[REDACTED]>

Classification: For internal use only

Gents

Trust you are both well, as part of the IWP Package remediation and as an attempt to address a concern of the DCO team, I have gone through over 7,000 line items in dbForce to identify who should be tagged as IWP Clients / Leads and which clients need to be removed. I have then cross reference this against the file we worked on with Josh to identify which clients had IWP Packages and which ones did not. So in the scrub file, it highlights:

- Who are IWP clients or Leads;
- Who has a package (client) and who does not (lead).

You can ignore the PM Qualified tags as this relates to Private Markets. Can you quickly (and I would not waste too much time) cast your eye over the SCRUB file to see if I have missed any clients off or missed any packages. The file I got from Josh was from December so we may have some extra ones.

Kind regards,
Ian Salters

{<https://brandportal.intranet.db.com/img/modules/logogrey.gif>}

Ian Salters
COO Americas - Institutional Wealth Partners

DB Securities Inc
Deutsche Bank Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA

Tel. [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

Visit us: <http://deutschewealth.com>

{https://brandportal.intranet.db.com/img/modules/positive_impact_ENG.gif}

IWP products and services are intended for and available only to sophisticated, experienced investors who qualify as "institutional accounts" under FINRA Rule 4512(c)(3), and are capable of evaluating the investment benefits and risks of, and exercising independent judgment in evaluating and determining whether to enter into, sophisticated trading strategies and financial transactions. Transactions are subject to relevant internal approvals of Deutsche Bank or its affiliates prior to execution, and no transaction, idea or opportunity discussed herein may be executed unless you are a client of Deutsche Bank and of the Institutional Wealth Partners group (IWP).

Material herein regarding IWP products, investment ideas and solutions is for discussion purposes only. While brokerage services offered through the IWP Americas desk may include investment recommendations and brokerage advice, IWP does not provide investment management or investment advisory services, and private market opportunities and other products and services available through IWP are offered only on a non-advisory basis.

This communication is confidential and personal to you, solely for your information and for discussion purposes only, and does not create any legally binding obligation. Reproduction or distribution of any material herein without our written consent is strictly forbidden.