

Subject: RE: [REDACTED] balance history [I]  
From: Stewart Oldfield <[REDACTED]>  
Date: Tue, 28 Nov 2017 14:48:29 -0500  
To: Cynthia Rodriguez <[REDACTED]>

Classification: For internal use only

Perfect. Thanks!

From: Cynthia Rodriguez  
Sent: Tuesday, November 28, 2017 2:41 PM  
To: Stewart Oldfield <[REDACTED]>  
Subject: RE: [REDACTED] /balance history [I]

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Okay, so here we go. Let me know if this is what you're looking for:

#### 2016 AUMs

- January to April - \$0
- May to August - \$107mn
- Sept 2016 - \$8mn (DOJ issue)
- October to December - \$0

A total of 16 accounts (deposit and CD accounts) were closed in 2016 due to DOJ. The only two accounts remained open in 2016 were:

- [REDACTED]
- [REDACTED]

\*These accounts had a few cents in them.

#### AUMs for 2017

- January - None
- February- \$3mn
- March - \$79mn
- April- \$114mn
- May – June- \$130mn (peak)
- July- \$92mn
- August- \$91mn
- September - \$87mn
- October - \$82mn (current AUM)

In 2017, we opened a total of 37 accounts (DBTCA, DB AG and CD accounts).

#### New Accounts for 2017

- [REDACTED] and her family. (2 accounts: DBTCA/CD)
- [REDACTED] (6 accounts: DBTCA/CD/DBAG)
- [REDACTED] (6 accounts: DBTCA/CD/DBAG)

\*\*We have closed 6 accounts in 2017, but only because the client no longer needed the GRAT account anymore.

OUTSIDE OF [REDACTED]

Not sure if you want to include, but Southern Financial gave us some deposits for DB AG this year as well.

Southern Financial Relationship New Accounts for 2017:

- 4 DB AG accounts
- 2 DBTCA accounts
- Total balance in 6 new accounts: \$145,926,582.74 (majority in DB AG)

Kind regards,

Cynthia Rodriguez

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Cynthia Rodriguez  
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From: Stewart Oldfield  
Sent: Tuesday, November 28, 2017 1:36 PM  
To: Cynthia Rodriguez <[REDACTED]>  
Subject: [REDACTED] balance history [1]

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Hey there. I'm trying to demonstrate the success we've had with [REDACTED] this year. I think the best way to do that is to show the following:

2016 peak assets

2016 assets withdrawn

2016 number of accounts closed (and any that were left open)

2016 ending assets

2017 starting assets (same as 2016 ending)

2017 number of new accounts opened

2017 number of new clients added (Nancy, family members we never knew, etc.)

2017 peak assets

2017 current assets

I will also highlight dialog with Paul, Robert, etc.

Not a huge rush on this. Starting to write my year-end review.

Thanks

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Stewart Oldfield, CFA, CAIA  
Director

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