

Subject: RE: Approval Required on \$23mn Wire [I]
From: Matthew Schaefer <[REDACTED]>
Date: Tue, 22 Nov 2016 15:36:41 -0500
To: Cynthia Rodriguez <[REDACTED]>,
[REDACTED],
PWM SPG <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>

Classification: For internal use only

BSO approval granted. Client is transferring funds between related accounts. Client produced formal written request and receiving account was verified to be under the hierarchy of the Southern Financial relationship. HRM policy was followed, callback was performed, authorized POA verified the instructions. POA documentation was provided to verify the signer, Darren Indyke, as an authorized signer and POA.

Kind regards,
Matthew Schaefer

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

Matthew Schaefer
Regulatory Analyst | Supervisory Principals Group

Deutsche Bank Securities Inc.

Deutsche Bank Wealth Management
5022 Gate Parkway, Suite 400, 32256
Jacksonville, USA
Mail Stop: JCK01-0231
Tel. [REDACTED]
Mobile + [REDACTED]
Email [REDACTED]

From: Cynthia Rodriguez
Sent: Tuesday, November 22, 2016 3:23 PM
To: Matthew Schaefer <[REDACTED]>; [REDACTED],
<[REDACTED]>; PWM SPG <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: RE: Approval Required on \$23mn Wire [I]

Here you go!

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

From: Matthew Schaefer
Sent: Tuesday, November 22, 2016 3:22 PM
To: Cynthia Rodriguez; [REDACTED]; PWM SPG
Cc: Stewart Oldfield
Subject: RE: Approval Required on \$23mn Wire [I]

Classification: For internal use only

Sorry Cynthia, but it doesn't look like the POA was attached. If you could please resend with the POA. Thank you.

Kind regards,
Matthew Schaefer

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

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5022 Gate Parkway, Suite 400, 32256
Jacksonville, USA
Mail Stop: JCK01-0231
Tel. [REDACTED]
Mobile + [REDACTED]
Email [REDACTED]

From: Cynthia Rodriguez
Sent: Tuesday, November 22, 2016 3:11 PM
To: Matthew Schaefer <[REDACTED]>; [REDACTED]
<[REDACTED]>; PWM SPG <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: RE: Approval Required on \$23mn Wire [I]

Hi Matthew,

For some reason, the updated signature card is not in the repository. Attached is the POA on file for this company. The corporate resolution can also be found in approved KYC case 01195100. Please let me know if you need anything else for this.

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

From: Matthew Schaefer
Sent: Tuesday, November 22, 2016 3:00 PM
To: Cynthia Rodriguez; [REDACTED]; PWM SPG
Cc: Stewart Oldfield
Subject: RE: Approval Required on \$23mn Wire [I]

Classification: For internal use only

Hi Cynthia,

Please send me the client's signature card.

Kind regards,
Matthew Schaefer

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

Matthew Schaefer
Regulatory Analyst | Supervisory Principals Group

Deutsche Bank Securities Inc.

Deutsche Bank Wealth Management
5022 Gate Parkway, Suite 400, 32256
Jacksonville, USA
Mail Stop: JCK01-0231

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

From: Cynthia Rodriguez [mailto:[REDACTED]]
Sent: Tuesday, November 22, 2016 2:27 PM
To: [REDACTED] <[REDACTED]>; PWM SPG
<[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>
Subject: Approval Required on \$23mn Wire
Importance: High

Hello,

Our client, Southern Trust Company, would like to internally transfer \$23mn into their brokerage account under the name of The Haze Trust. Please see attached letter of instruction. The callback was made to the phone number on file, and confirmed by Darren Indyke who is the signatory on the account. Please provide approval to process this wire today. Thank you.

Kind regards,

Cynthia Rodriguez

{cid:image001.png@01D0778D.2D49CDD0}

Cynthia Rodriguez
Assistant Vice President

Deutsche Bank Trust Company Americas
Deutsche Asset & Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Fax [REDACTED]
Email [REDACTED]

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