

Subject: RE: Approval Needed - List of Preferreds

From: zia Memon <zia.memon@db.com>

Date: Tue, 14 Jun 2016 17:55:41 -0400

To: Todd Stevens <[REDACTED]>,
Stewart Oldfield <[REDACTED]>,
Zbynek Kozelsky <[REDACTED]>,
Andrew King <[REDACTED]>,
Joseph Dursi <[REDACTED]>

Todd,

Initial approval should come from the immediate supervisor (9/10 or 24)of the person preparing the marketing piece.

If someone is putting together a customer presentation with factual market data, as long as

Source is identified (Bloomberg/Thompson) then it should take minutes for the supervisor & MRG to approve.

ZIgggy,

Why don't you get your back-up RA (Brian) to assist on these items???

Lets talk tomorrow.

Thank you

Kind Regards

Zia Memon

[REDACTED]

Deutsche Bank Securities Inc.
Wealth Management Americas
345 Park Avenue, 10154-0004 New York, NY, USA
Tel [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

From: Todd Stevens
Sent: Tuesday, June 14, 2016 5:31 PM
To: Stewart Oldfield; Zbynek Kozelsky; Andrew King; zia Memon; Joseph Dursi
Subject: RE: Approval Needed - List of Preferreds

We are trying to amend the process to (1) go to MRG first and then (2) go to Ziggy only if presentation contains account specific information (balances, etc). If purely factual market information then the MRG should be sufficient.

Zia will need to opine and advise how we can amend process.

From: Stewart Oldfield
Sent: Tuesday, June 14, 2016 5:06 PM
To: Zbynek Kozelsky; Andrew King
Cc: Todd Stevens

Subject: RE: Approval Needed - List of Preferreds

He is a private banking client . . . And ISG and KCP report to the same person. Who is now copied on this email because this is getting silly.

From: Zbynek Kozelsky
Sent: Tuesday, June 14, 2016 4:56 PM
To: Andrew King
Cc: Stewart Oldfield
Subject: RE: Approval Needed - List of Preferreds

Guys,

Are we doing business with Epstein?

This is a KCP client, why is ISG involved with the client?

Thanks

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Zbynek "Ziggy" Kozelsky


Key Client Partners - Americas
Deutsche Bank Securities Inc.
Deutsche Asset & Wealth Management
345 Park Avenue, 26th Floor
New York, NY 10154
Tel. [REDACTED]
Email: [REDACTED]

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From: Andrew King
Sent: Friday, June 10, 2016 3:22 PM
To: Zbynek Kozelsky
Cc: Stewart Oldfield
Subject: Approval Needed - List of Preferreds

Ziggy,

I've attached a list of preferred equities that was asked for by Richard Kahn; the CFO for Southern Financial, which is an investment entity for the personal wealth of Jeffrey Epstein (one of Stew Oldfield's clients).

The list isn't a recommendation. Instead, it is a list of commonly traded preferred equities, which Richard and Jeffrey can select from to build their own basket.

The original list was provided by Delores Rubin from STG. ISG added the preferred equity CUSIPS, the average daily volume, the Bloomberg consensus rating for the issuers' common equity, and the DB rating for the issuers' common equity columns. Bloomberg was the source of the non DB information.

We'd like to send on Monday afternoon at the latest. Please let us know what disclosures would be required for approval.

Thanks in advance.

Best regards,
Andrew King

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Andrew King, CFA

[REDACTED]

Deutsche Bank Securities Inc.
Deutsche Asset & Wealth Management
345 Park Avenue, New York, NY 10154
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

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