

Subject: Fwd: Excessive Transactions March 2019 Account #44129244 [I]  
From: Stewart Oldfield <[REDACTED]>  
Date: Tue, 02 Apr 2019 02:48:38 -0400  
To: Brigid Macias <[REDACTED]>  
Bradley Gillin <[REDACTED]>  
Bcc: [REDACTED],  
[REDACTED]

How simple is it to convert this into an account without transaction limits?  
Given the outflows to exit the relationship, I can see hitting the cap  
again in April. Thanks.

Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

Begin forwarded message:

From: Stewart Oldfield <[REDACTED]>  
Date: April 1, 2019 at 11:48:42 PM GMT+2  
To: dboi oversight <[REDACTED]>  
Cc: Ryan Neumann <[REDACTED]>, Surendra Singh  
<[REDACTED]>, Teresa Metallo <[REDACTED]>, Debra  
Jasper <[REDACTED]>, Bradley Gillin <[REDACTED]>  
Subject: Re: Excessive Transactions March 2019 Account #44129244 [I]

Thanks. Let me look into what happened here and come back to you.  
Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas  
Deutsche Bank Wealth Management  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Mobile [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

On Apr 1, 2019, at 11:41 PM, dboi oversight <[REDACTED]> wrote:

> Excessive Transactions December 2017 Account #37989609 Classification: For internal use only

Hello Stewart,

Please be advised that the below listed money market account has exceeded the allowed number of transactions on Date (03/29/2019). You are receiving this email because you are the banking officer on this account. Letter to the client will be sent out on (04/04/2019) notifying them of the violation. If it is the third violation, the account must be converted to a transactional account (i.e., DDA or NOW) within 10 days from the date of the final notice. In the event a subsequent transaction is posted to the non-transactional account post 3rd violation, during the 10 day grace period, the funds must be transferred to a transactional account immediately.

If you think your client's violation is due to a bank error, please respond to both myself and Ryan Neumann in Compliance with your reason and it will be reviewed. If we do not receive a response in next two business day, we will assume you are not disputing this violation and letters will be sent according to Federal Regulations.

Acc # 44129244- Southern Trust Company, 1st violation

Please advise your client about the Regulation D requirement allowing only 6 transactions per month.

<image003.jpg>

8 Transactions- Preauthorized Debit

Thanks & regards,  
Oversight & Escalation Team

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Oversight & Escalation

DBOI Global Services Private Limited  
COO Wealth Management Operations  
A-1 & A-2, Evolve - Mahindra Technology Park,  
Inside Mahindra World City - SEZ, 302029 Jaipur, India

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Tel.  
Email

