

Subject: RE: MIFID II & research - access to portal for clients [I]  
From: Stewart Oldfield <[REDACTED]>  
Date: Thu, 09 Nov 2017 15:15:48 -0500  
To: Anna-Sofiya Lupolover <[REDACTED]>  
Bcc: [REDACTED],  
[REDACTED]

I'm not exactly sure who registered from each client, but the likely emails are below. If anyone gets shut off and cares, I'm sure they will call to be reactivated. Thanks

Steve Warner swarner@tfmg.net

Paul Barrett [REDACTED]

Third Lake

Paul Watson [REDACTED]

Robert Forsythe [REDACTED]

Orix – skip for now. I think the people who were registered left the firm

Thanks

From: Anna-Sofiya Lupolover  
Sent: Thursday, November 09, 2017 3:12 PM  
To: Stewart Oldfield <[REDACTED]>  
Subject: RE: MIFID II & research - access to portal for clients [I]

Classification: For internal use only

To clarify, Nikhil Patel is the individual from Safanad. But who should be receiving for the other entities you mentioned? Do you have their email addresses?

Safanad - Nikhil Patel - [REDACTED]

Orix

Tisch – Steve Warner

Alpha Group – Paul Barrett

Third Lake

Kind Regards,

Anna-Sofiya

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{cid:3\_\_=0ABBF755DFDBA10A8f9e8a93df9386909@db.com}

Anna-Sofiya Lupolover

Assistant Vice President

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Email [anna-sofiya.lupolover@db.com](mailto:anna-sofiya.lupolover@db.com)

Securities offered through Deutsche Bank Securities Inc.

From: Stewart Oldfield  
Sent: Thursday, November 09, 2017 12:38 PM  
To: Anna-Sofiya Lupolover [REDACTED]

Subject: RE: MIFID II & research - access to portal for clients [I]

Yes, thanks.

From: Anna-Sofiya Lupolover  
Sent: Thursday, November 09, 2017 11:34 AM  
To: Stewart Oldfield <[REDACTED]>  
Subject: FW: MIFID II & research - access to portal for clients [I]

Classification: For internal use only

Hello,

GM was able to identify some names of clients that are currently on their portal, and they came back with this list for your clients. This list may not be complete. However, would you please confirm whether or not these individuals should be given access to the new research portal? Please let me know. Thank you.

Contact First Name

Last Name

Email

Coverage Employee

Client Name

Nikhil

Patel

[REDACTED]

[REDACTED]

Deutsche Bank Securities INC,XX

Kind Regards,

Anna-Sofiya

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{cid:3\_\_=0ABBF755DFDBA10A8f9e8a93df9386909@db.com}

Anna-Sofiya Lupolover

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Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Anna-Sofiya Lupolover  
Sent: Thursday, November 02, 2017 10:20 AM

[REDACTED]

Subject: RE: MIFID II & research - access to portal for clients [I]

Classification: For internal use only

Hello,

If you have not had the chance to provide your list of clients who need access to the new Research portal, please do so by the end of the day. As a reminder, we will need the client's name and email address. Thank you.

Kind Regards,

Anna-Sofiya

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{cid:3\_\_=0ABBF755DFDBA10A8f9e8a93df9386909@db.com}

Anna-Sofiya Lupolover

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Fax +1(646)690-1193  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

From: Sheffali Welch  
Sent: Tuesday, October 31, 2017 8:31 AM

[REDACTED]

Subject: FW: MIFID II & research - access to portal for clients [I]

Classification: For internal use only

All,

DB Research is changing its approach to distributing Research with the

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launch of their new Research portal in November and MIFID II go-live in January.

An email was sent to relevant DB WM staff regarding their individual access to Research with the attached primer, noting that research will be distributed via secure links and pdf distribution will be stopped.

Some of you have asked us to consider & identify our clients who currently have access to the DB Research and need to retain this access. They need to be registered again ahead of the go-live of the new portal in November.

To that effect, could you please provide me with any clients (incl. address mails) that already have access to DB Research and that you would like to be onboarded on the new portal?

If you can send in the next couple days please if possible. Apologies for the late notice.

Kind regards,

Sheffali

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

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