

Subject: RE: rev discrepancy [C]  
From: Morgan Byrd <[REDACTED]>  
Date: Thu, 03 Dec 2015 09:49:42 -0500  
To: Jj Litchford <[REDACTED]>, Andrew Gallivan <[REDACTED]>  
Cc: Paul Morris <[REDACTED]>, Stewart Oldfield <[REDACTED]>

Classification: Confidential

JJ,

I have conducted some research on the Boies Family and National Organization of the New APO relationships. Since I was not notified about these relationships having an issue until now, they were not fixed in the November reaggregation. The Ellin Howard relationship was corrected in the reaggregation though and the respective negative NNAs that were booked under Ed are no longer on your GMIS report.

I looked at each account on the spreadsheet provided and found that the majority of the outflows occurred in either August or September 2015. I have attached the spreadsheet with my notes to the right of yours. These are only rough numbers but I will send the information to finance to see when they can adjust the rest of the NNAs for you. This may not be completed until the next reaggregation which will occur in January 2016. In the mean time, I will speak with Kim to see what her thoughts are for an interim fix.

Thank you,

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Morgan Byrd  
Associate

Deutsche Bank Trust Company, National Association

Deutsche Asset & Wealth Management  
5022 Gate Pkwy #400



Email 

Securities offered through Deutsche Bank Securities Inc.

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From: Jj Litchford  
Sent: Tuesday, December 01, 2015 12:45 PM  
To: Morgan Byrd; Andrew Gallivan  
Cc: Paul Morris; Stewart Oldfield  
Subject: RE: rev discrepancy [C]

Classification: Confidential

Hi Morgan--

I wanted to revisit this and make sure we are all on the same page that business booked under Ed will not be showing as assets or revenue for Paul and Stew. Attached is this sheet with the accounts that were booked under Ed Finley (who left in August) but are still showing as of the October GMIS report.

Relationships: Boies, Ellin, New Apostolic Church. See my notes attached.

Please confirm what else you need from us in order for these not to count as negative NNA.

Thank you,

JJ

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JJ Litchford  
Associate Banker

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Deutsche Asset & Wealth Management  
345 Park Avenue, 24th Floor  
New York, New York 10154

{cid:image002.gif@01D02B3A.F8AC3FC0}

From: Morgan Byrd  
Sent: Friday, October 23, 2015 8:33 AM  
To: Jj Litchford; Andrew Gallivan  
Subject: RE: rev discrepancy [C]

Classification: Confidential

JJ,

According to the report I sent you yesterday there is -\$344,824.48 in NNA for this account. I'm not sure where the -433 number is coming from. I've attached the report again with the rest of your line items hidden.

Thank you,

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Morgan Byrd  
Associate

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Securities offered through Deutsche Bank Securities Inc.

{cid:image002.gif@01CE271E.01610240}

From: Jj Litchford  
Sent: Thursday, October 22, 2015 12:00 PM  
To: Andrew Gallivan  
Cc: Morgan Byrd  
Subject: rev discrepancy [I]

Classification: For internal use only

As discussed, Howard Ellin shows as NNA of -433k but his NNA is exactly +5,000,000 (in a discretionary equity IA portfolio). The account is 451305.

Morgan—the oddity here is that -433K is almost the exact amount his account was down market value wise which obviously should never be considered NNA.

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