

Subject: Re: Fw: allocation [C]
From: Haig Ariyan <haig.ariyan@db.com>
Date: Tue, 05 Nov 2013 10:36:05 -0500
To: Caroline Kitidis [REDACTED]
Chip Packard [REDACTED]

Did not agree yet. Let us know case by case please for now.

----- Original Message -----
From: Caroline Kitidis
Sent: 11/05/2013 10:11 AM EST
To: Chip Packard; Haig Ariyan
Subject: Fw: Fw: allocation [C]
Classification: Confidential

H&C,
Per our conversation you agree that KCP allocations can come off top before PB/PCS breakdown? Its 3 clients where we have allocations. If so I will discuss w Mike I.

See below.

--

Caroline V. Kitidis
Managing Director | Head of Key Client Partners & Wealth Investment Coverage
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----- Original Message -----
From: Joshua Shoshan
Sent: 11/05/2013 10:04 AM EST
To: Caroline Kitidis
Subject: Re: Fw: allocation [C]
Classification: Confidential

Caroline, as far as I understand, the KCP accounts are Epstein, Rose and Wolfson (Daniel Wolfson will be in the book) -- so far. I guess Bollag is not

KCP, but he should be, based upon size -- but there is no KCP interaction here, as far as I know. In short, the KCP accounts should get an allocation before the PCS/PB split, but Mike Iaquina tells me adamantly that he has no instructions about a KCP carve-out, and he needs those instructions from you, Haig and Chip.

Maybe you might call Iaquina? He is at 212 250 9224. Best, --Josh

Joshua Shoshan
Director

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Date: 11/05/2013 09:59
AM

Subject: Re: Fw: allocation
[C]

Classification: Confidential

These are KCP accounts we r referring to or PB WIC ?

EFTA01478590

We said KCP accounts shd come off top and they agreed.
WIC PB comes out of regular allocation?

--

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----- Original Message -----

From: Joshua Shoshan

Sent: 11/05/2013 09:55 AM EST

To: Caroline Kitidis

Subject: Re: Fw: allocation [C]

Classification: Confidential

I spoke to Chip yesterday, and I think we still have a real problem with these special allocations not coming off the top. If they come out of the PB allocation, they are three times more "expensive". Can you try to get that pre-split allocation to take place? Chip said he was talking to you. I have not spoken to Haig, which I think makes sense . . .

Joshua Shoshan
Director

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From: [REDACTED]

EFTA01478591



Date: 11/05/2013 09:51
AM

Subject: Re: Fw: allocation
[C]

Classification: Confidential

So what is feedback here from chip and haig, their call ?

--

Caroline V. Kitidis
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----- Original Message -----

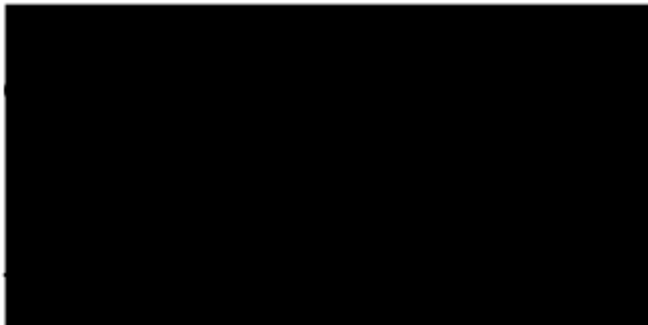
From: Joshua Shoshan
Sent: 11/05/2013 09:48 AM EST
To: Caroline Kitidis
Subject: Re: Fw: allocation [C]
Classification: Confidential

Hi. Butenhoff is an active client; not new. He trades a decent amount -- so we have about \$55k of revs with him ytd -- which means he is real -- and, separately, RV has business with him, including loans. She is also very old friends. If he gets 500 shares, that might be nice. The other guy is Bollag, a billionaire that RV made this big deal about since yesterday. He has \$100mm + in the firm. Best regards, --Josh

Joshua Shoshan
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Date: 11/05/2013 09:43
AM

Subject: Fw: allocation
[C]

Classification: Confidential

EFTA01478593

Can I get color here on these accounts ?

They are new for syndicate and or other real business or we are doing this as a favor for PB w no business opp?

--

Caroline V. Kitidis

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----- Original Message -----

From: Rosemary Vrablic

Sent: 11/05/2013 09:39 AM EST

To: Chip Packard; Haig Ariyan

Cc: Caroline Kitidis; Donald Summer; Joshua Shoshan; Zbynek Kozelsky

Subject: allocation [C]

Classification: Confidential

Chip and Haig

In addition to Bollag, the only other name that needs allocation consideration is Kurt Butenhoff. Thanks for the attention in both these names.

Kind regards,
Rosemary Vrablic

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Rosemary Vrablic
Managing Director

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NMLS# 1046752

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Securities offered through Deutsche Bank Securities Inc.

From: [REDACTED]
[REDACTED]

Date: 11/05/2013 09:33
AM

Subject: Bollag brokerage account
[C]

Classification: Confidential

Chip and Haig

As requested, we just received the executed brokerage account docs for Michael Bollag.

Thanks.

EFTA01478595

Kind regards,
Rosemary Vrablic

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Rosemary Vrablic
Managing Director

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NMLS# 1046752

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From: [REDACTED]
[REDACTED]

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]

Date: 11/04/2013 01:17
PM

Subject: Re:
[C]

Classification: Confidential

I don't think Michael would have any qualms about opening a DBAB account if its required. I've had some discussions with him in the past regarding purchasing CLOs via the PIC desk so I don't think it would hurt having an account open on the PCS side. It may be a way to facilitate some more activity from him moving forward...

I'll talk to Josh when he returns from a meeting and we'll see what we have to do to get this started.

Thanks,
Sean

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Sean Magee, CFP®
Vice President | Fixed Income

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From: [REDACTED]
[REDACTED]

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]
[REDACTED]

Date: 11/04/2013 11:53
AM

Subject: Re:
[C]

From a business perspective I am supportive given the importance of the overall PB relationship. From a regulatory perspective, can we do this if he doesn't have an open brokerage account?

Sent from my iPad

On Nov 4, 2013, at 11:05 AM, "Rosemary Vrablic" [REDACTED]
wrote:

Classification: Confidential

Given the "one bank" approach I keep hearing about, total Bollag investment and deposit assets with AWM (not brokerage) are approx \$130 million.

Kind regards,
Rosemary Vrablic

<0.27A.gif>

Rosemary Vrablic
Managing Director

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NMLS# 1046752

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Securities offered through Deutsche Bank Securities Inc.
Joshua Shoshan---11/04/2013 10:45:40 AM---Classification: Confidential
RV, hi. This is not an easy conversation, and Michael has no brokerage

From [REDACTED]
[REDACTED]
:

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]

Date 11/04/2013 10:45
AM
:

Subj Re: Fw:
[C]

ect:

EFTA01478599

Classification: Confidential

RV, hi. This is not an easy conversation, and Michael has no brokerage account with us. Please sketch this out for a moment. What are the assets and nature of the business? Best regards, --Josh

Joshua Shoshan
Director

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Rosemary Vrablic---11/04/2013 10:33:26 AM---Classification:
Confidential
given the significant amount of \$ Michael and Ben have with us, please

From: [REDACTED]
[REDACTED]

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]

Date: 11/04/2013 10:33
AM

Subject: Re: Fw:
[C]

Classification: Confidential

given the significant amount of \$ Michael and Ben have with us, please let me know if Chip or Haig need to be brought in.

Kind regards,
Rosemary Vrablic

<0.2444.gif>

Rosemary Vrablic
Managing Director

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NMLS# 1046752

<0.2EA2.gif>

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Joshua Shoshan---11/04/2013 10:31:39 AM---Classification: Confidential
Sean, please call me at any time. Best regards, --Josh Joshua Shoshan

From: [REDACTED]
[REDACTED]

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]

Date: 11/04/2013 10:31
AM

EFTA01478601

Subject: Re: Fw:
[C]

Classification: Confidential

Sean, please call me at any time. Best regards, --Josh

Joshua Shoshan
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Office
Cell
E-Fax

Sean Magee---11/04/2013 10:26:39 AM---Classification: Confidential Josh
- I'm sure you're many requests like this. Let me know if you have

From:

To:

Cc:

Date: 11/04/2013 10:26
AM

Subject: Fw:
[C]

Classification: Confidential

Josh - I'm sure you're getting many requests like this.
Let me know if you have a moment to discuss today.

Thanks,
Sean

<0.3F22.gif>

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Securities offered through Deutsche Bank Securities Inc.
----- Forwarded by Sean Magee/db/dbcom on 11/04/2013 10:20 AM -----

From: Michael
[REDACTED]

To: [REDACTED]
[REDACTED]

Cc: [REDACTED]
[REDACTED]

Date: 11/04/2013 10:18
AM

Subject: Re:

EFTA01478603

[C]

Sean, anything you guys can do to get me an allocation on this weeks twitter IPO? I hear you are co-runners on the book
Sent from my iPhone

On Nov 4, 2013, at 1:51 PM, Sean Magee [REDACTED] wrote:
Classification: Confidential

No problem. I'll have it emailed to you today.

Thanks,
Sean

<mime-attachment.gif>

Sean Magee, CFP®
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<mime-attachment.gif>

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From: [REDACTED]
[REDACTED]

To: [REDACTED]
[REDACTED]

Date: 11/03/2013 03:42

EFTA01478604

AM

Subject:
Re:

every Can you prepare the excel spreadsheet that you send me
once in a while. The one which shows cost, tax cost, PL.
yield to call, yield to maturity, premium to scale....
hopefully accretion on the bonds beyond Feb 2013. Please
also send the current AAA scale. I get home Monday so I
would like to review Tuesday or Wednesday.

Sent from my iPad

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