

No Pre-Approval

Date: 1/1/2014 to 2/28/2014

Business Unit: Asset and Wealth Management-WM Americas Front Office

Reviewer : Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

Employee Name	Emp. ID	Emp. Status	Concur	Entry Key	Cost Center	Transaction Date	Company Name	Attendee Name	Total Attendees	Per Head Cost	Total Amount	Expense Type	Business Purpose	Vendor
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VRABLIC, ROSEMARY	6212663	A		13406206	6201215544	1/9/2014						DB	Rose	
mary T Vrablic	2	200	400	Client Meals	Dinner MAREA									
VRABLIC, ROSEMARY	6212663	A		13406206	6201215544	1/9/2014						DLA	Piper	
Charles Baker	2	200	400	Client Meals	Dinner MAREA									
VRABLIC, ROSEMARY	6212663	A		13340285	6201215544	1/2/2014						Client	Howa	
rd Lepow	3	200	600	Client Meals	Dinner MORINI RISTORANTE									
VRABLIC, ROSEMARY	6212663	A		13340285	6201215544	1/2/2014						Client	Sall	
y Lepow	3	200	600	Client Meals	Dinner MORINI RISTORANTE									
VRABLIC, ROSEMARY	6212663	A		13340285	6201215544	1/2/2014						DB	Rose	
mary T Vrablic	3	200	600	Client Meals	Dinner MORINI RISTORANTE									

This report displays Concur entries requiring pre-approval that were not found in ACERS.

Thresholds for Supervisory Approval

The following table depicts the thresholds triggering when advance written supervisory approval is needed.

&A &P

Pre-Approval Discrepancies

Date: 1/1/2014 to 2/28/2014

Business Unit: Asset and Wealth Management-WM Americas Front Office

Reviewer : Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

ACERS Concur

ACER Unique ID	DB People ID	DB Host Last Name	DB Host First Name	Cost Center	ACER		
Event Date	Attendee Name	Client Firm	Client Relationship	Attendee type	Total Amount		
Per Head Count	Total Attendees	Expense Type	Description	Compliance Approver	Compliance A		
Approval Date	Concur ID	Pre-Approval Number	Transaction Date/ Time	Attendee Name	Clie		
nt Firm Attendee type	Total Amount	in Concur	Attendee Amount	Total Attendees	Business Purpose		
Expense Type	Vendor						
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Judith Webster DB Employee		
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di		
nner	Not applicable	13651467	156792	01/23/2014	Brian P. Convey Employee 2700		
450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value				
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Josh Shoshan DB Employee		
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di		
nner	Not applicable	13651467	156792	01/23/2014	Mike Underwood Wynkoop Capital LLC		
Client	2700	450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value		
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brain Frenkel A M N Investments /		
Colorado Family Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tick		
ets courtside include dinner	Not applicable	13637008	156792	01/23/2014	Brad Underwo		
od	Colorado Partners	Client	2100	350	6	Client Meeting Sporting/Theater Tic	
kets - Ticket Value	REGENCY	CONSULTING LLC					
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Noah Agron Brigade Management		
Client	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include dinner		
Not applicable	13637008	156792	01/23/2014	Brian Frenkel	Colorado partners Clie		
nt	2100	350	6	Client Meeting	Sporting/Theater Tickets - Ticket Value REGENCY CONS		
ULTING LLC							
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brad Underwood Altitude Investment		
Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tickets courtside in		
clude dinner	Not applicable	13637008	156792	01/23/2014	Joshua Shoshan Employee		
2100	350	6	Client Meeting	Sporting/Theater Tickets - Ticket Value	REGENCY CONSULTING L		
LC							
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Michael Underwood Wynkoop Capi		
tal LLC	Client	2700	450	6	Ticketed events + meals/drinks Tickets courtside include di		
nner	Not applicable	13637008	156792	01/23/2014	Judith A Webster Employee		
2100	350	6	Client Meeting	Sporting/Theater Tickets - Ticket Value	REGENCY CONSULTING L		
LC							
158167	6212651	SCALZI DOMINIC	6201215544	1/12/2014	Dominic Scalzi DB Employee		
Employee	524.74	131	4	Meals/drinks	Client Dinner Not applicable 13408021		
158167	01/12/2014	Dominic J Scalzi	Employee	525	174.91 3	Dinner Clie	
nt Meals	PICCOLO	PARADISO RISTORAN					
158167	6212651	SCALZI DOMINIC	6201215544	1/12/2014	Rosemary Vrablic DB Empl		
oyee	Employee	524.74	131	4	Meals/drinks	Client Dinner Not applicable 1340	
8021	158167	01/12/2014	Rosemary T Vrablic	Employee	525	174.91 3	Dinn
er	Client Meals	PICCOLO	PARADISO RISTORAN				
158167	6212651	SCALZI DOMINIC	6201215544	1/12/2014	Michael Mandt Michael Mandt Clie		
nt	524.74	131	4	Meals/drinks	Client Dinner Not applicable 13408021		
67	01/12/2014	Otto Mally	Kroenke Organization	Client	525	174.91 3	Dinn
er	Client Meals	PICCOLO	PARADISO RISTORAN				
158167	6212651	SCALZI DOMINIC	6201215544	1/12/2014	Neil Mandt Neil Mandt Clie		
nt	Client	524.74	131	4	Meals/drinks	Client Dinner Not applicable	
158168	6212651	SCALZI DOMINIC	6201215544	1/16/2014	Dominic Scalzi DB Employee		
Employee	681.39	227	3	Meals/drinks	Client Dinner Not applicable 13466542		
158168	01/16/2014	Dominic J Scalzi	Employee	681	170.35 4	Dinner Clie	
nt Meals	PATROON						
158168	6212651	SCALZI DOMINIC	6201215544	1/16/2014	Rosemary Vrablic DB Empl		
oyee	Employee	681.39	227	3	Meals/drinks	Client Dinner Not applicable 1346	
6542	158168	01/16/2014	Michael Mandt	Client Client	681	170.35 4	Dinner Clie
nt Meals	PATROON						
158168	6212651	SCALZI DOMINIC	6201215544	1/16/2014	Otto Malli Kroenke Group Clie		
nt	Client	681.39	227	3	Meals/drinks	Client Dinner Not applicable 13466542	
158168	01/16/2014	Neil Mandt	Client Client	681	170.35 4	Dinner Client Meals	
PATROON							
158168	6212651	SCALZI DOMINIC	Not applicable	13466542	158168	01/16/2014	Rosemary T V
rablic	Employee	681	170.34	4	Dinner	Client Meals	PATROON
158249	6106839	MOORE SALVATORE	6201215544	1/13/2014	Sal Moore DB Empl		
oyee	Employee	900	450	2	Ticketed Event	Knicks Not applicable 13728352	
158249	01/06/2014	alan kestenbaum	globe specialty metals	Client	17620	677.69 26	Spor
t Tickets - Single event	Client-Entertainment						
158249	6106839	MOORE SALVATORE	6201215544	1/13/2014	Donald Damast Commodore Ma		
nufacturing Corp	Client	900	450	2	Ticketed Event	Knicks Not applicable 1372	
8352	158249	01/06/2014	Brian P. Convey	Employee	17620	677.69 26	Sport Ticket
s - Single event	Client-Entertainment						
158249	6106839	MOORE SALVATORE	Not applicable	13728352	158249	01/06/2014	Brig
id A. Ehrenberg	Employee	17620	677.70	26	Sport Tickets -	Single event	Client-Enter
tainment							
158249	6106839	MOORE SALVATORE	Not applicable	13728352	158249	01/06/2014	davi

da deutsch tainment	na	Client	17620	677.70	26	Sport Tickets - Single event	Client-Enter	
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	dick	
spoor na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Entertainment		
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	dimi	
trios smyrinios n/a	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	dona	
ld damast na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	donn	
a kay strategic procurement	Client	17620	677.69	26	Sport Tickets - Single event	Clie		
nt-Entertainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	fait	
h lorenzo na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	fred	
erick mcmullen Fidelity asset management	Client	17620	677.70	26	Sport Tickets - Sing			
le event	Client-Entertainment							
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	joe	
rodriguez americana manhasset	Client	17620	677.69	26	Sport Tickets - Single event			
Client-Entertainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	John	
R Marson Employee	17620	677.69	26	Sport Tickets - Single event	Client-Enter			
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	jon	
ostrow na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Entertainment		
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	kit	
mcquiston na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	kyle	
delaney na	Client	17620	677.70	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	max	
smyrinios na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	mich	
ael torregiano hamlin	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	nate	
perkins na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	neil	
sonenberg na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	pete	
smyrinios na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	ron	
ostrow na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Entertainment		
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	Salv	
atore E. Moore Employee	17620	677.69	26	Sport Tickets - Single event	Client-Enter			
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	scot	
williams na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	Scot	
t T. Prokop Employee	17620	677.70	26	Sport Tickets - Single event	Client-Enter			
tainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	Stev	
e Schneider Cenosystems, Inc.	Client	17620	677.70	26	Sport Tickets - Single event			
Client-Entertainment								
158249 6106839 MOORE SALVATORE				Not applicable	13728352	158249 01/06/2014	yuri	
farison na	Client	17620	677.69	26	Sport Tickets - Single event	Client-Enter		
tainment								
158454 6106839 MOORE SALVATORE				6201215544	2/2/2014	Salvatore Moore DB	Empl	
oyee Employee	6025	1506	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/1	
4/2014 13685884	158454	01/27/2014	gerald barad na	Client	4525	1131.25	4	
Sport Tickets - Single event	Client-Entertainment							
158454 6106839 MOORE SALVATORE				6201215544	2/2/2014	Ronnie Apfel	Shimmie Horn	
Relationship - Iriqouis Hotel	Client	6025	1506	4	Ticketed Event	NFL Super Bowl	Jose	
ph Yuen 02/14/2014	13685884	158454	01/27/2014	ronnie apfel na	Client	4525		
1131.25 4	Sport Tickets - Single event	Client-Entertainment						
158454 6106839 MOORE SALVATORE				6201215544	2/2/2014	Shimmie Horn	Shimmie Horn	
Relationship - Iriqouis Hotel	Client	6025	1506	4	Ticketed Event	NFL Super Bowl	Jose	
ph Yuen 02/14/2014	13685884	158454	01/27/2014	Salvatore E. Moore	Employee			
4525 1131.25 4	Sport Tickets - Single event	Client-Entertainment						
158454 6106839 MOORE SALVATORE				6201215544	2/2/2014	Gerald Barad	Gerald Barad	
Client Client	6025	1506	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/14/2014	

13685884 158454 01/27/2014 shimie horm na Client 4525 1131.25 4 Spor
t Tickets - Single event Client-Entertainment NFL-TICKETS
This report displays Concur entries requiring pre-approval that were found in ACERS but present vari
ous discrepancies.
Thresholds for Supervisory Approval
The following table depicts the thresholds triggering when advance written supervisory approval is n
eeded.
&A &P

Pre-Approval No Discrepancies

Date: 1/1/2014 to 2/28/2014

Business Unit: Asset and Wealth Management-WM Americas Front Office

Reviewer : Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

ACERS Concur

ACER Unique ID	DB People ID	DB Host Last Name	DB Host First Name	Cost Center	ACER
Event Date	Attendee Name	Client Firm	Client Relationship	Attendee Type	Total Amount
Per Head Count	Total Attendees	Expense Type	Description	Compliance Approver	Compliance A
Approval Date	Concur ID	Pre-Approval Number	Transaction Date/ Time	Attendee Name	Client Firm
Firm Attendee type	Total Amount	in Concur	Attendee Amount	Total Attendees	Business Purpose
Expense Type	Vendor				
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brain Frenkel A M N Investments /
Colorado Family Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tick
ets courtside include dinner	Not applicable	13637008	156792	1/30/2014	Brian P. Con
vey Employee	2700	450	6	Client Meeting	Sporting/Theater Tickets - Ticket Va
lue					
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brain Frenkel A M N Investments /
Colorado Family Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tick
ets courtside include dinner	Not applicable	13637008	156792	1/30/2014	Mike Underwo
od Wynkoop Capital LLC	Client	2700	450	6	Client Meeting Sporting/Theater Tic
kets - Ticket Value	REGENCY CONSULTING LLC				
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brad Underwood Altitude Investment
Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tickets courtside in
clude dinner	Not applicable	13637008	156792	1/30/2014	Brad Underwood Colorado Par
tners Client	2700	450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Brad Underwood Altitude Investment
Partners LLC	Client	2700	450	6	Ticketed events + meals/drinks Tickets courtside in
clude dinner	Not applicable	13637008	156792	1/30/2014	Brian Frenkel Colorado par
tners Client	2700	450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value REGE
NCY CONSULTING LLC					
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Noah Agron Brigade Management
Client	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include dinner
Not applicable	13637008	156792	1/30/2014	Joshua Shoshan Employee	2700 450
6	Client Meeting	Sporting/Theater Tickets - Ticket Value			
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Noah Agron Brigade Management
Client	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include dinner
Not applicable	13637008	156792	1/30/2014	Judith A Webster Employee	2700
450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value	REGENCY CONSULTING LLC	
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Josh Shoshan DB Employee
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di
nner	Not applicable	13637008	156792	1/30/2014	Cathy Oberg Hudson News Clie
nt	2700	450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Josh Shoshan DB Employee
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di
nner	Not applicable	13637008	156792	1/30/2014	jim cohen n/a Client 2700
450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value	REGENCY CONSULTING LLC	
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Judith Webster DB Employee
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di
nner	Not applicable	13637008	156792	1/30/2014	John R Marson Employee 2700
450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value		
156792	6219059	WEBSTER JUDITH	6433705005	1/30/2014	Judith Webster DB Employee
Employee	2700	450	6	Ticketed events + meals/drinks	Tickets courtside include di
nner	Not applicable	13637008	156792	1/30/2014	robert cohen n/a Client 2700
450	6	Client Meeting	Sporting/Theater Tickets - Ticket Value	REGENCY CONSULTING LLC	

This report displays Concur entries requiring pre-approval that were found in ACERS.

Thresholds for Supervisory Approval

The following table depicts the thresholds triggering when advance written supervisory approval is needed.

&A &P

No Reimbursement										
Date: 1/1/2014 to 2/28/2014										
Business Unit: Asset and Wealth Management-WM Americas Front Office										
Reviewer: Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen										
Employee Name	Emp. ID	Emp. Status	ACERS Unique ID	Status	Source	Cost Center	Transaction			
Date	Company	Name	Attendee Name	Client Relationship	Total Attendees	Per Head	Cost	Total		
Amount	Expense Type	Compliance Approver	Compliance Approval Date							
JENSEN, JOANNE	8003324	A	149943	Sent	ACERS	6201128669	1/22/2014	DB	Joan	
ne Jensen	Employee	2	305	610	Ticketed Event	Not applicable				
JENSEN, JOANNE	8003324	A	149943	Sent	ACERS	6201128669	1/22/2014	Eton Park		
Petr Prerovsky	Client	2	305	610	Ticketed Event	Not applicable				
VRABLIC, ROSEMARY	6212663	A	156833	Sent	ACERS	6201215544	1/2/2014	DB		
Rosemary Vrablic	Employee	3	200	600	Meals/drinks	Not applicable				
VRABLIC, ROSEMARY	6212663	A	156833	Sent	ACERS	6201215544	1/2/2014	Howa		
rd Lepow	Howard Lepow	Client	3	200	600	Meals/drinks	Not applicable			
VRABLIC, ROSEMARY	6212663	A	156833	Sent	ACERS	6201215544	1/2/2014	Sall		
y Lepow	Sally Lepow	Client	3	200	600	Meals/drinks	Not applicable			
MOORE, SALVATORE	6106839	A	158250	Sent	ACERS	6201215544	1/16/2014	DB		
Sal Moore	Employee	2	450	900	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158250	Sent	ACERS	6201215544	1/16/2014	Rose		
n Seymour Shapss	Martin & Company	Client	2	450	900	Ticketed Event	Not applicable			
applicable										
MOORE, SALVATORE	6106839	A	158251	Sent	ACERS	6201215544	1/17/2014	Bank		
of America	Nate Perkins	Client	2	450	900	Ticketed Event	Not applicable			
MOORE, SALVATORE	6106839	A	158251	Sent	ACERS	6201215544	1/17/2014	DB		
Sal Moore	Employee	2	450	900	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158252	Sent	ACERS	6201215544	1/21/2014	DB		
Sal Moore	Employee	2	450	900	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158252	Sent	ACERS	6201215544	1/21/2014	Dick		
Spoor	Dick Spoor	Client	2	450	900	Ticketed Event	Not applicable			
MOORE, SALVATORE	6106839	A	158253	Sent	ACERS	6201215544	1/24/2014	DB		
Sal Moore	Employee	2	450	900	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158253	Sent	ACERS	6201215544	1/24/2014	Scot		
Williams	Scot Williams	Client	2	450	900	Ticketed Event	Not applicable			
MOORE, SALVATORE	6106839	A	158254	Sent	ACERS	6201215544	1/28/2014	DB		
Sal Moore	Employee	2	450	900	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158254	Sent	ACERS	6201215544	1/28/2014	Yuri		
Farison	Yuri Farison	Client	2	450	900	Ticketed Event	Not applicable			
MOORE, SALVATORE	6106839	A	158255	Sent	ACERS	6201215544	2/1/2014	DB		
Sal Moore	Employee	4	425	1700	Ticketed Event	Not applicable				
MOORE, SALVATORE	6106839	A	158255	Sent	ACERS	6201215544	2/1/2014	Schu		
an Foods	Dimitriou Smyriniou	Client	4	425	1700	Ticketed Event	Not applicable			
MOORE, SALVATORE	6106839	A	158255	Sent	ACERS	6201215544	2/1/2014	Schu		
an Foods	Max Smyriniou (Child of Dimitriou Smyriniou)	Client	4	425	1700	Ticketed Event	Not applicable			
nt	Not applicable									
MOORE, SALVATORE	6106839	A	158255	Sent	ACERS	6201215544	2/1/2014	Schu		
an Foods	Pete Smyriniou (Child of Dimitriou Smyriniou)	Client	4	425	1700	Ticketed Event	Not applicable			
nt	Not applicable									
MORRIS, PAUL	8067863	A	158620	Sent	ACERS	6201215544	2/12/2014	DB	Paul	
Morris	Employee	3	300	900	Ticketed Event	Not applicable				
MORRIS, PAUL	8067863	A	158620	Sent	ACERS	6201215544	2/12/2014	Moses Singer		
LLP	Jim Alterbaum	Client	3	300	900	Ticketed Event	Not applicable			
MORRIS, PAUL	8067863	A	158620	Sent	ACERS	6201215544	2/12/2014	Southern Fin		
ancial LLP	Richard Kahn	Client	3	300	900	Ticketed Event	Not applicable			
MULLIN IV, MICHAEL	6212513	A	158854	Sent	ACERS	6201215544	2/4/2014	DB		
Michael Mullin	Employee	2	175	350	Ticketed Event	Not applicable				
MULLIN IV, MICHAEL	6212513	A	158854	Sent	ACERS	6201215544	2/4/2014	Holl		
y Capital	Gary Mosko	Client	2	175	350	Ticketed Event	Not applicable			
CONVEY, BRIAN	6106275	A	158980	Sent	ACERS	6201215544	2/2/2014	DB	Bria	
n Convey	Employee	2	1512.5	3025	Ticketed Event	Joseph Yuen	02/25/2014			
CONVEY, BRIAN	6106275	A	158980	Sent	ACERS	6201215544	2/2/2014	Marco Intern		
ational/Globe Specialty Metals	Alan Kestenbaum	Client	2	1512.5	3025	Ticketed Event	Joseph Yuen	02/25/2014		
ph Yuen	02/25/2014									
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	DB	John	
Gleber	Employee	6	253.333333	1520	Meals/drinks	Not applicable				
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	DB	Mark	
Westhoff	Employee	6	253.333333	1520	Meals/drinks	Not applicable				
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	DB	Mich	
ael Jacoby	Employee	6	253.333333	1520	Meals/drinks	Not applicable				
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	Somerston		
Alex Ohlsson	Client	6	253.333333	1520	Meals/drinks	Not applicable				
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	Somerston		
Nick Wakefield	Client	6	253.333333	1520	Meals/drinks	Not applicable				
JACOBY, MICHAEL	6123267	A	158989	Sent	ACERS	6201215594	2/20/2014	Somerston		
Steven Stegenwalner	Client	6	253.333333	1520	Meals/drinks	Not applicable				
CONVEY, BRIAN	6106275	A	159040	Sent	ACERS	6201215544	2/5/2014	Beth Ostrow		
Beth Ostrow	Client	2	450	900	Ticketed Event	Not applicable				
CONVEY, BRIAN	6106275	A	159040	Sent	ACERS	6201215544	2/5/2014	DB	Bria	
n Convey	Employee	2	450	900	Ticketed Event	Not applicable				

CONVEY, BRIAN LLP Arnie Toren	6106275 A Client	159041 2	Sent 450	ACERS 900	6201215544 Ticketed Event	2/12/2014 Not applicable	A Kozak & Co
CONVEY, BRIAN n Convey	6106275 A Employee	159041 2	Sent 450	ACERS 900	6201215544 Ticketed Event	2/12/2014 Not applicable	DB Bria
CONVEY, BRIAN n Convey	6106275 A Employee	159042 4	Sent 212.5	ACERS 850	6201215544 Ticketed Event	2/16/2014 Not applicable	DB Bria
CONVEY, BRIAN urden Margaret Casella	6106275 A Client	159042 4	Sent 212.5	ACERS 850	6201215544 Ticketed Event	2/16/2014 Not applicable	William AM B
CONVEY, BRIAN urden Michael Casella	6106275 A Client	159042 4	Sent 212.5	ACERS 850	6201215544 Ticketed Event	2/16/2014 Not applicable	William AM B
CONVEY, BRIAN urden Mike Casella	6106275 A Client	159042 4	Sent 212.5	ACERS 850	6201215544 Ticketed Event	2/16/2014 Not applicable	William AM B
CONVEY, BRIAN n Convey	6106275 A Employee	159043 3	Sent 355.666666	ACERS 1067	6201215544 Ticketed Event	2/27/2014 Not applicable	DB Bria
CONVEY, BRIAN atore Moore	6106275 A Employee	159043 3	Sent 355.666666	ACERS 1067	6201215544 Ticketed Event	2/27/2014 Not applicable	DB Salv
CONVEY, BRIAN head Thomas Moorehead	6106275 A Client	159043 3	Sent 355.666666	ACERS 1067	6201215544 Ticketed Event	2/27/2014 Not applicable	Thomas Moore
CONVEY, BRIAN nhasset John Gutleber	6106275 A Client	159044 2	Sent 450	ACERS 900	6201215544 Ticketed Event	2/28/2014 Not applicable	Americana Ma
CONVEY, BRIAN n Convey	6106275 A Employee	159044 2	Sent 450	ACERS 900	6201215544 Ticketed Event	2/28/2014 Not applicable	DB Bria

Thresholds for Supervisory Approval

The following table depicts the thresholds triggering when advance written supervisory approval is needed.

&A &P

Concur Raw Data

Date : 1/1/2014 to 2/28/2014

Business Unit : Asset and Wealth Management-WM Americas Front Office

Reviewer : Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

Employee Name	Emp. ID	Emp. Status	Concur Entry Key	Pre-Approval Number	Cost Center		
Transaction Date	Company Name	Attendee Name	Attendee Type	Total Attendees	Per Head Cos		
Total Amt	Business Purpose	Expense Type					
VRABLIC, ROSEMARY	6212663	A	13340285	6201215544	1/2/2014	Client Sall	
y Lepow Client	3	200	600	Dinner Client Meals			
VRABLIC, ROSEMARY	6212663	A	13340285	6201215544	1/2/2014	DB Rose	
mary T Vrablic Employee	3	200	600	Dinner Client Meals			
VRABLIC, ROSEMARY	6212663	A	13340285	6201215544	1/2/2014	Client Howa	
rd Lepow Client	3	200	600	Dinner Client Meals			
VRABLIC, ROSEMARY	6212663	A	13406206	6201215544	1/9/2014	DLA Piper	
Charles Baker Client	2	200	400	Dinner Client Meals			
VRABLIC, ROSEMARY	6212663	A	13406206	6201215544	1/9/2014	DB Rose	
mary T Vrablic Employee	2	200	400	Dinner Client Meals			
WEBSTER, JUDITH	6219059	A	13637008	156792	6433705005	01/23/2014	Joshua Shosh
an Employee	6	350	2100	Client Meeting	Sporting/Theater Tickets - Ticket Va	lue	
WEBSTER, JUDITH	6219059	A	13651467	156792	6433705005	01/23/2014	Brian P. Con
vey Employee	6	450	2700	Client Meeting	Sporting/Theater Tickets - Ticket Va	lue	
WEBSTER, JUDITH	6219059	A	13637008	156792	6433705005	01/23/2014	Colorado Par
tners Brad Underwood Client	6	350	2100	Client Meeting	Sporting/Theater Tickets - T	icket Value	
WEBSTER, JUDITH	6219059	A	13651467	156792	6433705005	01/23/2014	Wynkoop Capi
tal LLC Mike Underwood Client	6	450	2700	Client Meeting	Sporting/Theater Tickets - T	icket Value	
WEBSTER, JUDITH	6219059	A	13637008	156792	6433705005	01/23/2014	Judith A Web
ster Employee	6	350	2100	Client Meeting	Sporting/Theater Tickets - Ticket Va	lue	
WEBSTER, JUDITH	6219059	A	13637008	156792	6433705005	01/23/2014	Colorado par
tners Brian Frenkel Client	6	350	2100	Client Meeting	Sporting/Theater Tickets - T	icket Value	
SCALZI, DOMINIC	6212651	A	13408021	158167	6201215544	01/12/2014	Kroenke Orga
nization Otto Mally Client	3	174.91	525	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13408021	158167	6201215544	01/12/2014	Dominic J Sc
alzi Employee	3	174.91	525	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13408021	158167	6201215544	01/12/2014	Rosemary T V
rabolic Employee	3	174.91	525	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13466542	158168	6201215544	01/16/2014	Dominic J Sc
alzi Employee	4	170.35	680	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13466542	158168	6201215544	01/16/2014	Rosemary T V
rabolic Employee	4	170.34	680	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13466542	158168	6201215544	01/16/2014	Client Mich
ael Mandt Client	4	170.35	680	Dinner Client Meals			
SCALZI, DOMINIC	6212651	A	13466542	158168	6201215544	01/16/2014	Client Neil
Mandt Client	4	170.35	680	Dinner Client Meals			
MARSON, JOHN	6107543	A	13519560	158169	6201215544	01/23/2014	John R Marso
n Employee	4	160	640	Sport Tickets - Single event	Client-Entertainment		
MARSON, JOHN	6107543	A	13519560	158169	6201215544	01/23/2014	n/a robe
rt cohen Client	4	160	640	Sport Tickets - Single event	Client-Entertainment		
MARSON, JOHN	6107543	A	13519560	158169	6201215544	01/23/2014	Hudson News
Cathy Oberg Client	4	160	640	Sport Tickets - Single event	Client-Entertainment		
MARSON, JOHN	6107543	A	13519560	158169	6201215544	01/23/2014	n/a jim
cohen Client	4	160	640	Sport Tickets - Single event	Client-Entertainment		
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	Scot
t T. Prokop Employee	26	677.70	17628	Sport Tickets - Single event	Client-Enter	tainment	
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	na
davida deutsch Client	26	677.70	17628	Sport Tickets - Single event	Client-Entertainment		
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	na
faith lorenzo Client	26	677.69	17628	Sport Tickets - Single event	Client-Entertainment		
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	na
pete smyrnios Client	26	677.69	17628	Sport Tickets - Single event	Client-Entertainment		
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	Brig
id A. Ehrenberg Employee	26	677.70	17628	Sport Tickets - Single event	Client-Enter	tainment	
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	John
R Marson Employee	26	677.69	17628	Sport Tickets - Single event	Client-Enter	tainment	
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	Ceno
systems, Inc. Steve Schneider Client	26	677.70	17628	Sport Tickets - Single event	Clie	nt-Entertainment	
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	Fide
lity asset management frederick mcmullen Client	26	677.70	17628	Sport Tickets - Sing		le event Client-Entertainment	
MOORE, SALVATORE	6106839	A	13728352	158249	6201215544	01/06/2014	na

donald damast	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
max smyrinios	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
neil sonenberg	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
yuri farison	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 stra
tegit procurement		donna kay		Client 26		677.69 17628 Sport	Tickets - Single event
Client-Entertainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 Salv
atore E. Moore	Employee	26	677.69	17628	Sport	Tickets - Single event	Client-Enter
tainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 amer
icana manhasset joe rodriguez	Client	26	677.69	17628	Sport	Tickets - Single event	Clie
nt-Entertainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 glob
e specialty metals		alan kestenbaum		Client 26		677.69 17628 Sport	Tickets - Single event
Client-Entertainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 n/a
dimitrios smyrinios	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Enter
tainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
dick spoor	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
jon ostrow	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
kit mcquiston	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
kyle delaney	Client	26	677.70	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
nate perkins	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
ron ostrow	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 na
scot williams	Client	26	677.69	17628	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 Bria
n P. Convey	Employee	26	677.69	17628	Sport	Tickets - Single event	Client-Enter
tainment							
MOORE, SALVATORE		6106839	A	13728352		158249 6201215544	01/06/2014 haml
in michael torregiano	Client	26	677.69	17628	Sport	Tickets - Single event	Clie
nt-Entertainment							
MOORE, SALVATORE		6106839	A	13685884		158454 6201215544	01/27/2014 na
shimmie horm	Client	4	1131.25	4524	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13685884		158454 6201215544	01/27/2014 Salv
atore E. Moore	Employee	4	1131.25	4524	Sport	Tickets - Single event	Client-Enter
tainment							
MOORE, SALVATORE		6106839	A	13685884		158454 6201215544	01/27/2014 na
gerald barad	Client	4	1131.25	4524	Sport	Tickets - Single event	Client-Entertainment
MOORE, SALVATORE		6106839	A	13685884		158454 6201215544	01/27/2014 na
ronnie apfel	Client	4	1131.25	4524	Sport	Tickets - Single event	Client-Entertainment
&A	&P						

ACERS Raw Data

Date: 1/1/2014 to 2/28/2014

Business Unit: Asset and Wealth Management-WM Americas Front Office

Reviewer : Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

ACERS Transaction Date	ACERS Unique ID	Status	Source	Emp ID	Employee Name	Emp. Status	Atte
ndee Name	Company Name	Client Firm	Client Relationship	Pre Approver	Cost Center		
Client Code	Transaction Name	EmpUBRLevel9	Per Head Count	Total Amount	Total Attend		
ees	Expense Type	Description	Compliance Approver	Compliance Approval Date			
1/22/2014	149943	Sent	ACERS	8003324	JENSEN, JOANNE A	Joanne Jensen	DB
oyee	Employee	Andrew Gallivan	6201128669	WM Americas Front Office	305	610	Empl
2	Ticketed Event	Metropolitan Opera	Not applicable				
1/22/2014	149943	Sent	ACERS	8003324	JENSEN, JOANNE A	Petr Prerovsky	Eton Park
Client	Client	Andrew Gallivan	6201128669	WM Americas Front Office	305	610	2
Ticketed Event	Metropolitan Opera	Not applicable					
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Brain Frenkel	A M N Invest
ments / Colorado	Family Partners LLC	Client	Michael J Davis	6433705005	WM Americas Front Of		
office	450	2700	6	Ticketed events + meals/drinks	Tickets courtside include dinner		
Not applicable							
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Brad Underwood	Altitude Inv
vestment Partners	LLC	Client	Michael J Davis	6433705005	WM Americas Front Office	450	
2700	6	Ticketed events + meals/drinks	Tickets courtside include dinner				Not applicab
le							
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Noah Agron	Brigade Mana
gement Client	Michael J Davis	6433705005	WM Americas Front Office	450	2700	6	
Ticketed events + meals/drinks	Tickets courtside include dinner						Not applicable
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Josh Shoshan	DB
oyee	Employee	Michael J Davis	6433705005	WM Americas Front Office	450	2700	Empl
6	Ticketed events + meals/drinks	Tickets courtside include dinner					Not applicable
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Judith Webster	DB
oyee	Employee	Michael J Davis	6433705005	WM Americas Front Office	450	2700	Empl
6	Ticketed events + meals/drinks	Tickets courtside include dinner					Not applicable
1/30/2014	156792	Sent	A & C	6219059	WEBSTER, JUDITH A	Michael Underwood	Wynk
oop Capital LLC	Client	Michael J Davis	6433705005	WM Americas Front Office	450	2700	
6	Ticketed events + meals/drinks	Tickets courtside include dinner					Not applicable
1/2/2014	156833	Sent	ACERS	6212663	VRABLIC, ROSEMARY A	Rosemary Vrablic	
DB	Employee	Employee	Kimberly Hart	6201215544	WM Americas Front Office		
200	600	3	Meals/drinks	Meals and Drinks			Not applicable
1/2/2014	156833	Sent	ACERS	6212663	VRABLIC, ROSEMARY A	Howard Lepow	Howa
rd Lepow	Client	Client	Kimberly Hart	6201215544	WM Americas Front Office		200
600	3	Meals/drinks	Meals and Drinks				Not applicable
1/2/2014	156833	Sent	ACERS	6212663	VRABLIC, ROSEMARY A	Sally Lepow	Sall
y Lepow	Client	Client	Kimberly Hart	6201215544	WM Americas Front Office	200	600
3	Meals/drinks	Meals and Drinks					Not applicable
1/12/2014	158167	Sent	A & C	6212651	SCALZI, DOMINIC A	Dominic Scalzi	DB
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	131.25	525	Empl
4	Meals/drinks	Client Dinner					Not applicable
1/12/2014	158167	Sent	A & C	6212651	SCALZI, DOMINIC A	Rosemary Vrablic	DB
Employee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office			131.
25	525	4	Meals/drinks	Client Dinner			Not applicable
1/12/2014	158167	Sent	A & C	6212651	SCALZI, DOMINIC A	Michael Mandt	Michael Mand
t	Client	Andrew Gallivan	6201215544	WM Americas Front Office	131.25	525	4
Meals/drinks	Client Dinner						Not applicable
1/12/2014	158167	Sent	A & C	6212651	SCALZI, DOMINIC A	Neil Mandt	Neil Mandt
Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	131.25	525	4
Meals/drinks	Client Dinner						Not applicable
1/16/2014	158168	Sent	A & C	6212651	SCALZI, DOMINIC A	Dominic Scalzi	DB
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	227	681	Empl
3	Meals/drinks	Client Dinner					Not applicable
1/16/2014	158168	Sent	A & C	6212651	SCALZI, DOMINIC A	Rosemary Vrablic	DB
Employee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office			227
681	3	Meals/drinks	Client Dinner				Not applicable
1/16/2014	158168	Sent	A & C	6212651	SCALZI, DOMINIC A	Otto Malli	Kroenke Grou
p	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	227	681
3	Meals/drinks	Client Dinner					Not applicable
11/10/2013	158169	Sent	A & C	6107543	MARSON, JOHN A	John Marson	DB
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	160	640	Empl
4	Ticketed Event	NY Giants vs. Oakland Raiders					Not applicable
11/10/2013	158169	Sent	A & C	6107543	MARSON, JOHN A	James Cohen	Lisa Cohen r
relationship	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office		160
640	4	Ticketed Event	NY Giants vs. Oakland Raiders				Not applicable
11/10/2013	158169	Sent	A & C	6107543	MARSON, JOHN A	Kathy Oberg	Lisa Cohen r
relationship	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office		160
640	4	Ticketed Event	NY Giants vs. Oakland Raiders				Not applicable
11/10/2013	158169	Sent	A & C	6107543	MARSON, JOHN A	Robert Cohen III	Lisa
Cohen relationship	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office		
160	640	4	Ticketed Event	NY Giants vs. Oakland Raiders			Not applicable
1/13/2014	158249	Sent	A & C	6106839	MOORE, SALVATORE A	Donald Damast	Comm
odore Manufacturing Corp	Client	Andrew Gallivan	6201215544	WM Americas Front Office			
450	900	2	Ticketed Event	Knicks			Not applicable

1/13/2014	158249	Sent	A & C	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Knicks	Not applicable				
1/16/2014	158250	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Rangers	Not applicable				
1/16/2014	158250	Sent	ACERS	6106839	MOORE, SALVATORE	A	Neil Sonenberg	Rose
n Seymour Shapss Martin & Company	Client	Andrew Gallivan	6201215544	WM Americas Front Of				
450	900	2	Ticketed Event	Rangers	Not applicable			
1/17/2014	158251	Sent	ACERS	6106839	MOORE, SALVATORE	A	Nate Perkins	Bank
of America	Client	Andrew Gallivan	6201215544	WM Americas Front Office			450	900
2	Ticketed Event	Knicks	Not applicable					
1/17/2014	158251	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Knicks	Not applicable				
1/21/2014	158252	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Rangers	Not applicable				
1/21/2014	158252	Sent	ACERS	6106839	MOORE, SALVATORE	A	Dick Spoor	Dick
Spoor Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office			450	900
2	Ticketed Event	Rangers	Not applicable					
1/24/2014	158253	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Knicks	Not applicable				
1/24/2014	158253	Sent	ACERS	6106839	MOORE, SALVATORE	A	Scot Williams	Scot
Williams	Client	Andrew Gallivan	6201215544	WM Americas Front Office				450
900	2	Ticketed Event	Knicks	Not applicable				
1/28/2014	158254	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			450
900	2	Ticketed Event	Knicks	Not applicable				
1/28/2014	158254	Sent	ACERS	6106839	MOORE, SALVATORE	A	Yuri Farison	Yuri
Farison	Client	Andrew Gallivan	6201215544	WM Americas Front Office				450
900	2	Ticketed Event	Knicks	Not applicable				
2/1/2014	158255	Sent	ACERS	6106839	MOORE, SALVATORE	A	Sal Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			425
1700	4	Ticketed Event	Knicks	Not applicable				
2/1/2014	158255	Sent	ACERS	6106839	MOORE, SALVATORE	A	Dimitrious Smyrini	Smyrini
Schuan Foods	Client	Andrew Gallivan	6201215544	WM Americas Front Office			425	1700
4	Ticketed Event	Knicks	Not applicable					
2/1/2014	158255	Sent	ACERS	6106839	MOORE, SALVATORE	A	Max Smyrini	(Child
of Dimitrious Smyrini	Schuan Foods	Client	Andrew Gallivan	6201215544	WM Americas			
Front Office	425	1700	4	Ticketed Event	Knicks	Not applicable		
2/1/2014	158255	Sent	ACERS	6106839	MOORE, SALVATORE	A	Pete Smyrini	(Child
of Dimitrious Smyrini	Schuan Foods	Client	Andrew Gallivan	6201215544	WM Americas			
Front Office	425	1700	4	Ticketed Event	Knicks	Not applicable		
2/2/2014	158454	Sent	A & C	6106839	MOORE, SALVATORE	A	Salvatore Moore	DB
Employee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			1506
.25	6025	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/14/2014		
2/2/2014	158454	Sent	A & C	6106839	MOORE, SALVATORE	A	Gerald Barad	Gera
ld Barad	Client	Andrew Gallivan	6201215544	WM Americas Front Office				1506
.25	6025	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/14/2014		
2/2/2014	158454	Sent	A & C	6106839	MOORE, SALVATORE	A	Ronnie Apfel	Shim
mie Horn Relationship -	Iriquis Hotel	Client	Andrew Gallivan	6201215544	WM Americas Front Of			
fice	1506.25	6025	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/14/2014	
2/2/2014	158454	Sent	A & C	6106839	MOORE, SALVATORE	A	Shimmie Horn	Shim
mie Horn Relationship -	Iriquis Hotel	Client	Andrew Gallivan	6201215544	WM Americas Front Of			
fice	1506.25	6025	4	Ticketed Event	NFL Super Bowl	Joseph Yuen	02/14/2014	
2/12/2014	158620	Sent	ACERS	8067863	MORRIS, PAUL	A	Paul Morris	DB
oyee	Employee		Chip Packard	6201215544	WM Americas Front Office			300
3	Ticketed Event	NY Knicks vs Sacramento	Not applicable					900
2/12/2014	158620	Sent	ACERS	8067863	MORRIS, PAUL	A	Jim Alterbaum	Moses Singer
LLP	Client	Chip Packard	6201215544	WM Americas Front Office				300
3	Ticketed Event	NY Knicks vs Sacramento	Not applicable					
2/12/2014	158620	Sent	ACERS	8067863	MORRIS, PAUL	A	Richard Kahn	Southern Fin
ancial LLP	Client	Chip Packard	6201215544	WM Americas Front Office				300
900	3	Ticketed Event	NY Knicks vs Sacramento	Not applicable				
2/4/2014	158854	Sent	ACERS	6212513	MULLIN IV, MICHAEL	A	Michael Mullin	DB
Employee	Employee		Chip Packard	6201215544	WM Americas Front Office			175
350	2	Ticketed Event	SuperBowl	Not applicable				
2/4/2014	158854	Sent	ACERS	6212513	MULLIN IV, MICHAEL	A	Gary Mosko	Holl
y Capital	Client	Chip Packard	6201215544	WM Americas Front Office				175
2	Ticketed Event	SuperBowl	Not applicable					
2/2/2014	158980	Sent	ACERS	6106275	CONVEY, BRIAN	A	Brian Convey	DB
oyee	Employee		Andrew Gallivan	6201215544	WM Americas Front Office			1512.5
2	Ticketed Event	Super Bowl	Joseph Yuen	02/25/2014				3025
2/2/2014	158980	Sent	ACERS	6106275	CONVEY, BRIAN	A	Alan Kestenbaum	Marco Intern
ational/Globe Specialty	Metals	Client	Andrew Gallivan	6201215544	WM Americas Front Of			
fice	1512.5	3025	2	Ticketed Event	Super Bowl	Joseph Yuen	02/25/2014	
2/20/2014	158989	Sent	ACERS	6123267	JACOBY, MICHAEL	A	John Gleber	DB
								Empl

oyee	Employee	Chip Packard	6201215594	WM Americas Front Office	253.333333	
1520	6	Meals/drinks	Client Dinner	Not applicable		
2/20/2014	158989	Sent	ACERS 6123267	JACOBY, MICHAEL A	Mark Westhoff	DB Empl
oyee	Employee	Chip Packard	6201215594	WM Americas Front Office	253.333333	
1520	6	Meals/drinks	Client Dinner	Not applicable		
2/20/2014	158989	Sent	ACERS 6123267	JACOBY, MICHAEL A	Michael Jacoby	DB Empl
oyee	Employee	Chip Packard	6201215594	WM Americas Front Office	253.333333	
1520	6	Meals/drinks	Client Dinner	Not applicable		
2/20/2014	158989	Sent	ACERS 6123267	JACOBY, MICHAEL A	Alex Ohlsson	Somerston
Client	Client	Chip Packard	6201215594	WM Americas Front Office	253.333333	1520
6	Meals/drinks	Client Dinner	Not applicable			
2/20/2014	158989	Sent	ACERS 6123267	JACOBY, MICHAEL A	Nick Wakefield	Somerston
Client	Client	Chip Packard	6201215594	WM Americas Front Office	253.333333	1520
6	Meals/drinks	Client Dinner	Not applicable			
2/20/2014	158989	Sent	ACERS 6123267	JACOBY, MICHAEL A	Steven Stegenwalner	Some
rston	Client	Client	Chip Packard	6201215594	WM Americas Front Office	253.333333
1520	6	Meals/drinks	Client Dinner	Not applicable		
2/5/2014	159040	Sent	ACERS 6106275	CONVEY, BRIAN A	Beth Ostrow	Beth Ostrow
Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	450	900 2
Ticketed Event	Knicks	Vs Portland Trail Blazers		Not applicable		
2/5/2014	159040	Sent	ACERS 6106275	CONVEY, BRIAN A	Brian Convey	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	450	900
2	Ticketed Event	Knicks Vs Portland Trail Blazers		Not applicable		
2/12/2014	159041	Sent	ACERS 6106275	CONVEY, BRIAN A	Arnie Toren	A Kozak & Co
LLP	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	450 900
2	Ticketed Event	Knicks Vs Sacramento Kings		Not applicable		
2/12/2014	159041	Sent	ACERS 6106275	CONVEY, BRIAN A	Brian Convey	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	450	900
2	Ticketed Event	Knicks Vs Sacramento Kings		Not applicable		
2/16/2014	159042	Sent	ACERS 6106275	CONVEY, BRIAN A	Brian Convey	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	212.5	850
4	Ticketed Event	Georgetown Vs St. Johns		Not applicable		
2/16/2014	159042	Sent	ACERS 6106275	CONVEY, BRIAN A	Margaret Casella	Will
iam AM Burden	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	212.
5	850	4	Ticketed Event	Georgetown Vs St. Johns		Not applicable
2/16/2014	159042	Sent	ACERS 6106275	CONVEY, BRIAN A	Michael Casella	William AM B
urden	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	212.5 850
4	Ticketed Event	Georgetown Vs St. Johns		Not applicable		
2/16/2014	159042	Sent	ACERS 6106275	CONVEY, BRIAN A	Mike Casella	William AM B
urden	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	212.5 850
4	Ticketed Event	Georgetown Vs St. Johns		Not applicable		
2/27/2014	159043	Sent	ACERS 6106275	CONVEY, BRIAN A	Brian Convey	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	355.666666	
1067	3	Ticketed Event	Rangers Vs Chicago Blackhawks		Not applicable	
2/27/2014	159043	Sent	ACERS 6106275	CONVEY, BRIAN A	Salvatore Moore	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	355.666666	
1067	3	Ticketed Event	Rangers Vs Chicago Blackhawks		Not applicable	
2/27/2014	159043	Sent	ACERS 6106275	CONVEY, BRIAN A	Thomas Moorehead	Thom
as Moorehead	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	355.
666666	1067	3	Ticketed Event	Rangers Vs Chicago Blackhawks		Not applicable
2/28/2014	159044	Sent	ACERS 6106275	CONVEY, BRIAN A	John Gutleber	Americana Ma
nhasset	Client	Client	Andrew Gallivan	6201215544	WM Americas Front Office	450 900
2	Ticketed Event	Knicks Vs Golden State Warriors		Not applicable		
2/28/2014	159044	Sent	ACERS 6106275	CONVEY, BRIAN A	Brian Convey	DB Empl
oyee	Employee	Andrew Gallivan	6201215544	WM Americas Front Office	450	900
2	Ticketed Event	Knicks Vs Golden State Warriors		Not applicable		
&A	&P					

Employee UBR

Date: 1/1/2014 to 2/28/2014

Business Unit: Asset and Wealth Management-WM Americas Front Office

Reviewer: Kim Hart, Chip Packard, Michael-J Davis, Erin O-Rourke, Zia Memon, Chris Jensen

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6107543	MARSON, JOHN	A	john.marson@db.com	Deutsche Asset and Wealth Mana		Coverage & A
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6119267	BOWEN, AMY	T	amy.bowen@db.com	Asset and Wealth Management		Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office			
6120083	FORBES JR, THOMAS	A	tommm.forbes@db.com	Deutsche Asset and Wealth Mana		Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office			
6120569	KANE, DAVID	T	david.f.kane@db.com	Asset and Wealth Management		Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office			
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dvice	WM Americas	Americas	WM Americas Front Office			
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dvice	WM Americas	Americas	WM Americas Front Office			
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na	Coverage & Advice	WM Americas	Americas	WM Americas Front Office		

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dvice	WM Americas	Americas	WM Americas Front Office		
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dvice	WM Americas	Americas	WM Americas Front Office		
6126791	WESTHOFF, MARK	A	mark.r.westhoff@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
6201152	INCISA DI CAMERANA, CRISTINA	T	cristina.incisadicamerana@db.com	Asset and We	
alth Management					
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na					
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dvice	WM Americas	Americas	WM Americas Front Office		
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rage & Advice	WM Americas	Americas	WM Americas Front Office		
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dvice	WM Americas	Americas	WM Americas Front Office		
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na					
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6210698	STUBBLEFIELD, JADA P	T	jada.stubblefield@db.com	Asset and Wealth Management	
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6211227	TAPIA, ANDREA	A	andrea.tapia@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6211738	YOUNG, STEVEN	T	steven.young@db.com	Asset and Wealth Management	Coverage & A
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6211810	HOLL, CAROLINE F	T	caroline.holl@db.com	Asset and Wealth Management	Cove
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6212999 ROSENFELD, MARCI	T	marci.rosenfeld@db.com	Asset and Wealth Management	Cove
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dvice	WM Americas	Americas	WM Americas Front Office	
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dvice	WM Americas	Americas	WM Americas Front Office	
6213837 VELASQUEZ, ISRAEL	A	israel.velasquez@db.com	Deutsche Asset and Wealth Mana	Cove
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6213908 MORGAN, MARCY	A	marcy.morgan@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office	
6213943 DEDIC, CHRISTA	T	christa.dedic@db.com	Asset and Wealth Management	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office	
6213978 NAKAHARA, LINDA	A	linda.takefuji@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office	
6214091 KOESTER, COLIN A	T	colin.koester@db.com	Asset and Wealth Management	Cove
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6214351 O ROURKE, MARY	A	erin.o-rourke@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6214376 HERLIHY, JAMES	A	james.herlihy@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office	
6216704 TORRES JR, JAIME	T	jaime.torres@db.com	Asset and Wealth Management	Cove
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6216919 MORITZ, DENISE	T	denise.moritz@db.com	Asset and Wealth Management	Coverage & A
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6217097	TOONDA, PARVATIE S	T	sherry.toonda@db.com	Asset and Wealth Management	Cove
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6217099	IRWIN, BENJAMIN T	T	benjamin.irwin@db.com	Asset and Wealth Management	Coverage & A
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6217192	JULES, SEAN A	A	sean.jules@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6217729	HERPEL, JONATHAN	T	jonathan.herpel@db.com	Asset and Wealth Management	Cove
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6217736	CARTER, ERIC M T	T	eric.carter@db.com	Asset and Wealth Management	Coverage & A
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6217763	VICE, ANDREA T	T	britt.vice@db.com	Asset and Wealth Management	Coverage & A
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6217818	JUDGE, DEIRDRE A	A	deirdre.judge@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6218034	LOK, EDMOND A	A	ed.lok@db.com	Deutsche Asset and Wealth Mana	Coverage & Advice
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6218310	PORTEN, CATHERINE W	T	catherine.porten@db.com	Asset and Wealth Management	Cove
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6218351	VASQUEZ, TANJA A	A	tanja.sondermann@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6218452	PULLARD, SHARON A	A	sharon.simmons@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6218497	JANMOHAMED, SALIM	T	salim.janmohamed@db.com	Asset and Wealth Management	Cove
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6218517	LILES, LAUREN A	A	lauren.liles@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6218837	ZHRINGER III, GEORGE A	A	george.zahringer@db.com	Deutsche Asset and Wealth Mana	Cove
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6218846	ESTRADA, VERONICA A	A	veronica.estrada@db.com	Deutsche Asset and Wealth Mana	Cove
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6218851	WOLFISH, DAVID B	T	david.wolfish@db.com	Asset and Wealth Management	Cove
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6219059	WEBSTER, JUDITH A	A	judith.webster@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6219305	GOMEZ, NELSON V T	T	nelson.gomez@db.com	Asset and Wealth Management	Coverage & A
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6219308	ZODA, LINDA T	T	linda.zoda@db.com	Asset and Wealth Management	Coverage & A
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6219313	OSWALD, BILLY A	A	bill.oswald@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6219604	COWDEN, SIRI A	A	siri.cowden@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6310808	KING, GEORGIA KAY A	A	kay.king@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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6311225	DUTCH, PATRICIA T	T	patricia.dutch@db.com	Asset and Wealth Management	Coverage & A
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6318993	NIELANDER, STEPHEN T	T	steve.nielander@db.com	Asset and Wealth Management	Cove
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6319005	MCCREA, DOUGLAS T	T	doug.mccrea@db.com	Asset and Wealth Management	Coverage & A
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6322071	GARCIA, MARIA T	T	maria-t.garcia@db.com	Asset and Wealth Management	Coverage & A
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6322146	VASQUEZ, TANIA T	T	tania.vasquez@db.com	Asset and Wealth Management	Coverage & A
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6322147	ALEY, JOANNE T	T	joanne.aley@db.com	Asset and Wealth Management	Coverage & A
	WM Americas	Americas	WM Americas Front Office		
7083163	MCADAMS, CHRISTINE A	A	christine.mcadams@db.com	Deutsche Asset and Wealth Ma	
	WM Americas	Americas	WM Americas Front Office		
8000103	UCHIHARA, DAHLIA A	A	dahlia.uchihara@db.com	Deutsche Asset and Wealth Mana	Cove
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8000331	ABELLO, VALIANT T	T	valiant.abello@db.com	Asset and Wealth Management	Coverage & A
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8000570	MORRISON, DAVID T	T	david.morrison@db.com	Asset and Wealth Management	Coverage & A
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8000981	SAMOS JR, MARIO R	T	mario.samos@db.com	Asset and Wealth Management	Cove
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8000984	ZAORSKI, PHILIP T	T	philip.zaorski@db.com	Asset and Wealth Management	Cove
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8001056	MORGAN, BRITTANY A	T	brittany.morgan@db.com	Asset and Wealth Management	Cove
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8001057	GAGE, LAUREN N T	T	lauren.gage@db.com	Asset and Wealth Management	Coverage & A
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8001059	HADDAD JR, WILLIAM N	T	billy.haddad@db.com	Asset and Wealth Management	Cove
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8001079	MEYER, DEBRA A	A	debbie.meyer@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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8002279	POWERS, DAVID	T	david.powers@db.com	Asset and Wealth Management	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8002683	DEBAKER, DIANA	A	diana.debaker@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8002802	SHAW, JENNIFER	A	jennifer.shaw@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8002808	BARUA, ANUSUYA	A	anu.barua@db.com	Deutsche Asset and Wealth Mana	Coverage & A
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8003324	JENSEN, JOANNE	A	joanne.jensen@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8003342	JANCO-TUPPER, MARY	T	pat.janco@db.com	Asset and Wealth Management	Cove
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8004759	DE SARAM-BELANICH, TESALIA	T	tesalia.de-saram@db.com	Asset and Wealth Management	
Coverage & Advice	WM Americas	Americas	WM Americas Front Office		
8005502	WU, GANG	T	steven.wu@db.com	Asset and Wealth Management	Coverage & A
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8005630	FONSECA, MAYRA	A	mayra.fonseca@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8008223	BURGLER, LILIAN	T	lilian.burgler@db.com	Asset and Wealth Management	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8009778	HARMON, SAMANTHA	A	samantha.harmon@db.com	Deutsche Asset and Wealth Mana	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
8030474	KAY, DANIEL	A	daniel.kay@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8031238	MCLAUGHLIN, ALEXANDRA	T	ali.mclaughlin@db.com	Asset and Wealth Management	Cove
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8031290	HREBINKO, KATHERINE	T	katherine.hrebinko@db.com	Asset and Wealth Management	
Coverage & Advice	WM Americas	Americas	WM Americas Front Office		
8031714	HARRIS, MARK	T	mark.harris@db.com	Asset and Wealth Management	Coverage & A
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8031717	DEPILLO, JOSEPH	T	joseph.depillo@db.com	Asset and Wealth Management	Coverage & A
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8031729	YIYAN, ZHANG	T	ava.zhang@db.com	Asset and Wealth Management	Coverage & A
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8032453	LAUTZE, KIMBERLY	A	kimberly.lautze@db.com	Deutsche Asset and Wealth Mana	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
8033486	KIRBY, AMANDA	A		Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8037119	CARLUCCI, PATRICK	T	patrick.carlucci@db.com	Asset and Wealth Management	Cove
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8038087	CLARKE JR, SELDON	T	seldon.clarke@db.com	Deutsche Asset and Wealth Mana	Cove
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8039125	PONTORIERO, MATTHEW	A	matthew.pontoriero@db.com	Deutsche Asset and Wealth Ma	
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8040103	MAXEINER, MICHAEL	T	michael.maxeiner@db.com	Asset and Wealth Management	Cove
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8041848	HINOJOSA, MARIA	T	valeria.hinojosa@db.com	Asset and Wealth Management	Coverage & A
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8042806	BOGARDUS, DEREK	T	derek.bogardus@db.com	Asset and Wealth Management	Coverage & A
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8044557	MORTON, KYLE	T	kyle.morton@db.com	Asset and Wealth Management	Coverage & A
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8044560	MCCAREY, DAVID	T	david.mccarey@db.com	Asset and Wealth Management	Coverage & A
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8044561	JOHNSON, ELIZA	T	eliza.johnson@db.com	Asset and Wealth Management	Coverage & A
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8045041	MCGRATH, MARGAUX	A	margaux.mcgrath@db.com	Deutsche Asset and Wealth Mana	Cove
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8045043	CHEN, LILY	T	lily.chen@db.com	Asset and Wealth Management	Coverage & A
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8045044	BRODY, WILLIAM	T	william.brody@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		
8045132	SONG, WEI	T	wei.song@db.com	Asset and Wealth Management	Coverage & Advice
WM Americas	Americas		WM Americas Front Office		
8046008	BERKENKAMP, ALEXANDER	T	alex.berkenkamp@db.com	Asset and Wealth Management	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
8046951	BUCHMAYR, SIEGFRIED	A	brandon.buchmayr@db.com	Deutsche Asset and Wealth Mana	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
8048606	MOSOLINO, KENNETH	T	kenneth.mosolino@db.com	Asset and Wealth Management	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
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8051154	FRIEDEN, GILBERT	A	gil.frieden@db.com	Deutsche Asset and Wealth Mana	Cove
rage & Advice	WM Americas	Americas	WM Americas Front Office		
8051155	SEKULIC, MASA	A	masa.sekulic@db.com	Deutsche Asset and Wealth Mana	Coverage & A
dvice	WM Americas	Americas	WM Americas Front Office		

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Coverage & Advice	WM Americas	Americas	WM Americas Front Office	
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dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
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8059434	FINLEY, EDWARD	A	ed.finley@db.com	Deutsche Asset and Wealth Mana
dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8059481	VELANIS, REBECCA	A	rebecca.velanis@db.com	Deutsche Asset and Wealth Mana
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8059975	SANCHEZ, ARACELY	A	aracely.sanchez@db.com	Deutsche Asset and Wealth Mana
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8060656	SACK, DAVID	T	david.sack@db.com	Asset and Wealth Management
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8060663	COCHRAN, TARA	T	tara.cochran@db.com	Asset and Wealth Management
dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8060665	MITTELMAN, MELISSA	T	melissa.mittelman@db.com	Asset and Wealth Management
Coverage & Advice	WM Americas	Americas	WM Americas Front Office	
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dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8060973	DWYER, ARIANE	T	[REDACTED]	Asset and Wealth Management
dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8061353	CAMPBELL, KAREEM	T	kareem.campbell@db.com	Asset and Wealth Management
rage & Advice	WM Americas	Americas	WM Americas Front Office	Cove
8061428	MANLEY, JOHN	T	john-b.manley@db.com	Asset and Wealth Management
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8061429	WEISSMAN, ADAM	T	adam.weissman@db.com	Asset and Wealth Management
dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8062510	GONZALEZ, MARK	A	mark.gonzalez@db.com	Deutsche Asset and Wealth Mana
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8063542	KING, ANDREW	A	andrew.king@db.com	Deutsche Asset and Wealth Mana
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8063867	ARRIZURIETA, CARLOS	A	carlos.arrizurieta@db.com	Deutsche Asset and Wealth Ma
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Coverage & Advice	WM Americas	Americas	WM Americas Front Office	
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8065043	GUPTA, PAYAL	A	payal-a.gupta@db.com	Deutsche Asset and Wealth Mana
dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
8067863	MORRIS, PAUL	A	[REDACTED]	Deutsche Asset and Wealth Mana
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8074561	SABBAGH, JOSEPH	A	joseph.sabbagh@db.com	Deutsche Asset and Wealth Mana
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8075227	O DONNELL, SEAN	A	sean.odonnell@db.com	Deutsche Asset and Wealth Mana
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8075250	LAMBERT, JANE	A	jane.lambert@db.com	Deutsche Asset and Wealth Mana
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8075859	KERR, ROBERT	A	rob.kerr@db.com	Deutsche Asset and Wealth Mana
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Coverage & Advice	WM Americas	Americas	WM Americas Front Office	
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8094142	PEER, [REDACTED]	A	[REDACTED]	Deutsche Asset and Wealth Mana
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dvice	WM Americas	Americas	WM Americas Front Office	Coverage & A
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