

Subject: Fw: 2008 1099 Recipients - Addresses [I]
From: Kimberly Hart [REDACTED]
Date: Sat, 22 Mar 2014 10:46:14 -0400
To: Chip Packard [REDACTED]

Just a heads up that we found out yesterday that 2008 1099s were sent to 1225 recipients by mistake. A letter was drafted by Marketing and approved by Compliance explaining the error. We are now working to verify addresses so the apology letter can be mailed early next week. Sageview - a former client of Mary Ann Coleman's - brought the issue to our attention. 100+ of their investors received the old 1099s.

Kimberly Hart
Managing Director

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Securities offered through Deutsche Bank Securities Inc.
From: Josh Rosen
Sent: Friday, March 21, 2014 4:14 PM
To: Melissa Pressley
Cc: Kimberly Hart; [REDACTED] Andrew Gallivan
Subject: 2008 1099 Recipients - Addresses [I]

Classification: For internal use only

Melissa,

When the letter is ready, please respond to the group.

Attached is the list of recipient address as provided by Roseann Defina from Thompson Reuters.

(See attached file:
2008_Beneficiary_Address_List_2008_mailed_3_18_2014_661B.xlsx)

Kind regards,
Josh Rosen

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