

Subject: Client Entertainment – PWM Details, Frequency and Reconciliation Reports (August 2014)

From: US.DB EntertainmentReports

Date: Mon, 15 Sep 2014 10:06:05 -0400

To: Kimberly Hart

Michael-J Davis

Erin O-Rourke

Cc: Zia Memon

Hi All,

In connection with the DB's new Client Entertainment Policy, which was enacted on February 4, 2008 (see Compliance Alert DBUS 08-002) attached please find:

1. a Details Report reflecting the details of the client entertainment events in your business unit that were logged pursuant to that policy for the coverage period indicated on the report,
2. a Frequency Report reflecting how many times a particular client was entertained by your specific division or team, and
3. a Concur Reconciliation Report reflecting the reconciliation of client entertainment events in your business unit that were logged into ACERS (US.Entertainment@db.com) and Concur

Please note that following changes have been made as per the business requirement:

- All reports generated at UBR level 8 to facilitate consolidated review.
- All reports specify the UBR level 9 descriptions under "UBR Description" column.

- Summary tab populates the details of all employees appearing in both Current and YTD tabs.

You have been identified as having supervisory responsibility over the areas for which you are receiving reports. If you identify any issue with these reports or are not the appropriate person to be receiving them, please contact your Compliance advisor.

Regards

DB Reporting Team

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