

Third Lake – had major relationship breakthrough in 2016. Won \$107mm in deposits in DBTCA across 18 accounts. All deposits and 16 accounts were gone by the end of the year due to the DOJ news (the two remaining open accounts had less than \$1 in them). Family CIO also left in 2016. Rebuilt trust in DB throughout 2017. Opened 37 new accounts in 2017, ending year with \$82mm in DBNY deposits. Have opened 16 more accounts for third generation of family and gained another \$40mm in 2018. Total assets here are \$122mm.

Ashley Furniture – strong relationship with founding family (Wanek/Third Lake) led to introduction to corporate treasury staff. Won \$175mm mandate for long-dated DBNY CDs

Southern Financial – one of the most complicated client situations I've seen. They have been extremely vocal about our lack of trading capabilities since I joined. Withdrew large portion of assets during 2016 (not DOJ related). Client was offboarded by Global markets at the end of 2016 due to lack of profitability. Further internal issues nearly caused us to offboard the client completely. Client was quite close to Paul and viewed his departure as a negative. I've managed to salvage and massively improve this relationship in the last two years. To start, we won \$50mm of deposits into DBNY in 2017. We've also turned around the GM/trading issues via KCP. Client has been re-onboarded and ISDA reestablished, and is now the largest trading counterparty of the KCP capital markets group. Current balances are ~\$230mm across brokerage and deposits.

MCM – Worked closely with Terri and KCP to win fundraising mandate. Successfully convinced KCP to take on the 3PI mandate. After introduction was complete, worked to establish credit line with DB structured credit group. MCM has also been mandated by DB to assist with DOJ consumer relief settlement.

Internal DB highlights:

Banker partnerships – In 2017 I began to work more closely with Terri Sohrab which led to success with MCM and greater collaboration on several other accounts. My background and skill set are complementary to Terri's and we work well together. I've also worked a bit with Heather Kirby and Bruce McDermott. Recently, I've been working with Rosemary Vrablic and her team on an insurance premium finance trade for two of her clients, referred to the bank by one of my close relationships. Other bankers continue to seek me out to help on certain situations and I'm known as a team player. I think this is especially important in the current environment at the bank.

Internal networks – I've become quite involved with our NextGen network and will continue to contribute to those efforts. I've sent clients to NextGen events since 2016 and attended the Innovation Summit with a client in 2017. Based on my involvement last year, I am part of the steering committee for 2018. I've helped Sarah with parts of the New York events and have discussed taking on a broader role with Paula Pullano. Finally, I've been involved with a global DB branding focus group. Corporate culture is very important to me and I would like to continue to get more involved.

MDs who should be supportive of promotion

Management:

Salman Mahdi
Steve Mattus
Kim Hart
Andrew Gallivan

Wealth Planning:

Sam Petrucci

ISG:

Coley Jellinghaus

KCP:

Todd Stevens
Dan Kaiser