

Subject: RE: Excessive Transactions March 2019 Account # [REDACTED] [I]
From: Robert Dicerbo <[REDACTED]>
Date: Tue, 02 Apr 2019 09:22:58 -0400
To: Stewart Oldfield <[REDACTED]>,
Arthur Tremblay <[REDACTED]>,
Bradley Gillin <[REDACTED]>
Cc: Charlie Burrows <[REDACTED]>,
Anthony Western <[REDACTED]>

Classification: For internal use only

Stew,

This account is an MMDA and under Reg D there is limit of six withdrawals during the month. Not sure when the account will be closing , however they may want to consider converting the account to a checking account if they plan of doing more disbursements.

Give me a call if you have any questions.

Thanks,

Rob

Regards,

Robert DiCerbo

Deutsche Bank Trust Company Americas

Deutsche Bank Wealth Management

345 Park Ave. New York, NY 10154

Tel: [REDACTED]

Mobile: [REDACTED]

[REDACTED]

From: Stewart Oldfield
Sent: Monday, April 01, 2019 5:46 PM
To: Robert Dicerbo <[REDACTED]>; Arthur Tremblay <[REDACTED]>; Bradley Gillin <[REDACTED]>
Cc: Charlie Burrows <[REDACTED]>
Subject: Fwd: Excessive Transactions March 2019 Account # [REDACTED] [I]

Can you guys have a look and let me know what needs to be done here? I didn't know we had any accounts with Epstein that had transaction limits. With the exiting of the relationship there is clearly increased activity. Thanks.

Stewart Oldfield, CFA, CAIA

Deutsche Bank Trust Company Americas

Deutsche Bank Wealth Management

345 Park Avenue, New York, NY 10154

Tel. [REDACTED]

Mobile [REDACTED]

Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc.

Begin forwarded message:

From: dboi oversight <dboi.oversight@db.com>
Date: April 1, 2019 at 11:41:30 PM GMT+2
To: Stewart Oldfield <[REDACTED]>
Cc: Ryan Neumann <[REDACTED]>, Surendra Singh
<[REDACTED]>, Teresa Metallo <[REDACTED]>, Debra
Jasper <[REDACTED]>
Subject: Excessive Transactions March 2019 Account # [REDACTED] [I]

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Hello Stewart,

Please be advised that the below listed money market account has exceeded the allowed number of transactions on Date (03/29/2019). You are receiving this email because you are the banking officer on this account. Letter to the client will be sent out on (04/04/2019) notifying them of the violation. If it is the third violation, the account must be converted to a transactional account (i.e., DDA or NOW) within 10 days from the date of the final notice. In the event a subsequent transaction is posted to the non-transactional account post 3rd violation, during the 10 day grace period, the funds must be transferred to a transactional account immediately.

If you think your client's violation is due to a bank error, please respond to both myself and Ryan Neumann in Compliance with your reason and it will be reviewed. If we do not receive a response in next two business day, we will assume you are not disputing this violation and letters will be sent according to Federal Regulations.

Acc # [REDACTED] - Southern Trust Company, 1st violation

Please advise your client about the Regulation D requirement allowing only 6 transactions per month.

{cid:image003.jpg@01D4E8B2.20F11440}

8 Transactions- Preauthorized Debit

Thanks & regards,
Oversight & Escalation Team

Oversight & Escalation

DBOI Global Services Private Limited

COO Wealth Management Operations

A-1 & A-2, Evolve - Mahindra Technology Park,

Inside Mahindra World City - SEZ, 302029 Jaipur, India

Tel. [REDACTED] (BCP)

Email dboi.oversight@db.com