

Subject: RE: SOF IV names [C] [I]
From: Nathaniel Morgan <[REDACTED]>
Date: Fri, 04 May 2018 15:02:03 -0400
To: Stewart Oldfield <[REDACTED]>
Cc: Andrew King <[REDACTED]>, William-M Finn <[REDACTED]>

Classification: For internal use only

Hi Stew – We've submitted 20 and received docs for 19 of your prospects.

2 quick updates/questions:

- We asked Davide from KCP to submit the request for Southern Financial.
- Should KCP also submit Willett?

Thanks!
Nate

From: Stewart Oldfield
Sent: Wednesday, May 02, 2018 1:27 PM
To: Nathaniel Morgan <[REDACTED]>
Cc: Andrew King <[REDACTED]>; William-M Finn <[REDACTED]>
Subject: Re: SOF IV names [C] [I]

Ah. That's complicated.

Stewart Oldfield, CFA, CAIA

Director

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.

On May 2, 2018, at 1:09 PM, Nathaniel Morgan <[REDACTED]> wrote:

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Hey Stew,

For Willett – you aren't a part of the team in DbForce (Jim Donofrio and KCP East are) so I can't submit an AIS request. Any guidance would be helpful.

Gracias,

Nate

From: Stewart Oldfield

Sent: Tuesday, May 01, 2018 6:11 PM
To: Nathaniel Morgan <[REDACTED]>
Cc: Andrew King <[REDACTED]>; William-M Finn <[REDACTED]>
Subject: RE: SOF IV names [I] [C]

Always happy to help you help me

From: Nathaniel Morgan
Sent: Tuesday, May 01, 2018 6:10 PM
To: Stewart Oldfield <[REDACTED]>
Cc: Andrew King <[REDACTED]>; William-M Finn <[REDACTED]>
Subject: RE: SOF IV names [I] [C]

Classification: Confidential

Thanks for the time on the phone Stew. We've got all that we need and will get rolling on the AIS requests.

From: Nathaniel Morgan
Sent: Tuesday, May 01, 2018 5:52 PM
To: Stewart Oldfield <[REDACTED]>
Cc: Andrew King <[REDACTED]>; William-M Finn <[REDACTED]>
Subject: RE: SOF IV names [I] [C]

Classification: Confidential

Hi Stew,

I've attached the form for the clients in red. Since everyone appears to be in DB force, we don't need the addresses and all that jazz. Just need the standard Suitability/Asset Allocation info, as well as phone #'s and emails if you have them.

Thanks,

Nate

Name

AIS Info on File

Aspen Grove

Yes

Bright

Yes

Dimension

Yes

Dorrance

Yes

Epstein/Southern Financial

Yes

Everwatch

Yes

Forrestal

Yes

Georgetown

Yes

Gerschel

Yes

Highlander

Yes

Illig

Yes

Ironsides

Yes

Nicholas

Yes

Shamrock

Yes

Slome

Yes

Third Lake

Yes

Tisch

Yes

Warren

Yes

BBR

No

Ford

No

Pacific Life

No

Willet

No

Annandale

No