

Subject: Re: Urgent Request [SC]  
From: Stewart Oldfield <[REDACTED]>  
Date: Wed, 17 Jul 2019 07:11:25 -0400  
To: Kimberly Hart <[REDACTED]>

I think that's a data issue which stopped reporting the IWP brokerage assets. Which is why I got that info from Liam and added it to the balances I saw on the report from Donna's team for this year. Leslie Roth is trying to reconcile.

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.

On Jul 17, 2019, at 7:02 AM, Kimberly Hart <[REDACTED]> wrote:

What caused the asset drop in mid 2018?

Kimberly Hart  
Managing Director | Divisional Control Officer

Wealth Management Americas

Deutsche Bank Trust Company Americas  
345 Park Avenue, New York, NY 10154  
Tel. [REDACTED]  
Fax [REDACTED]  
Mobile [REDACTED]  
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc

On Jul 16, 2019, at 4:36 PM, Stewart Oldfield <[REDACTED]>  
wrote:

> Classification: Strictly Confidential

From: Donna Kerrigan  
Sent: Tuesday, July 16, 2019 3:25 PM  
To: Leslie Roth <[REDACTED]>  
Cc: Robert Frohlich <[REDACTED]>; Stewart Oldfield  
<[REDACTED]>  
Subject: FW: Urgent Request [C]

Classification: Confidential

Leslie – Please can you address this request as a matter of urgency and also confirm if this account was impacted by missing Brokerage assets last year.

Thanks

From: Stewart Oldfield  
Sent: Tuesday, July 16, 2019 3:12 PM  
To: Robert Frohlich <[REDACTED]>; Donna Kerrigan  
<[REDACTED]>  
Subject: RE: Urgent Request [C]

Classification: Confidential

Rob,

Could you break out brokerage vs. non-brokerage assets? I don't think we had such a substantial volume drop in July '18, and wonder if that's a brokerage data issue.

Thanks

From: Robert Frohlich  
Sent: Tuesday, July 16, 2019 2:45 PM  
To: Donna Kerrigan <[REDACTED]>  
Cc: Stewart Oldfield <[REDACTED]>  
Subject: RE: Urgent Request [C]

Classification: Confidential

Here you go – also attaching the underlying data from GMIS which includes the product type and client names as well as USD.

Sum of EUR

    Categorie

relationship reference\*

    YearMonth

    Revenues

    Volume

SOUTHERN FINANCIAL

    201801

        118,719

        177,123,487

    201802

        92,880

        192,177,294

201803

101,339

183,554,497

201804

97,754

184,758,913

201805

116,122

198,312,507

201806

95,070

187,089,834

201807

66,734

57,351,765

201808

66,126

54,371,862

201809

107,091

45,601,540

201810

49,525

35,139,451

201811

48,090

32,853,375

201812

44,107

29,557,911

201901

53,541

33,911,566

201902

111,403

42,167,771

201903

48,774

8,262,610

201904

9,379

2,004,182

201905

799

30

201906

-

4

30

Kind regards,  
Rob Frohlich

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<image001.gif>

Robert Frohlich

Deutsche Bank AG, Filiale New York

Wealth Management  
345 Park Avenue, 10154-0004 New York, NY, USA  
Tel. [REDACTED]  
Mobile [REDACTED]

Email [REDACTED]

From: Donna Kerrigan  
Sent: 16 July 2019 13:34  
To: Robert Frohlich <[REDACTED]>  
Cc: Stewart Oldfield <[REDACTED]>  
Subject: Urgent Request [C]

Classification: Confidential

Hi Rob - Please can you pull Southern Financial Revenues and CBV by Product and Month beginning January 2018.

Thanks,

Donna