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From: Diana Canter

Sent: Tuesday, September 25, 2018 3:00 PM

To: Funda Bozkurt <[REDACTED]>; zia Memon <[REDACTED]>

Subject: RE: Butterfly brokerage [I]

One of the problems is that the document is not bar coded and we are not able to track it as missing but we should have it hand before we approve the account to be opened. What brokerage accounts don't you see documents for???

D

Kind regards,
Diana Canter



Diana Canter

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Sent: Tuesday, September 25, 2018 2:47 PM

To: zia Memon <[REDACTED]>

Cc: Diana Canter <[REDACTED]>

Subject: RE: Butterfly brokerage [I]

Classification: **For internal use only**

Ziggy should reject the account opening when that happens. How does he approve???. And to be honest, I am reviewing the KCP brokerage accounts and almost none of them has documentation. It is still unclear to me how these accounts are opened at the time.

It is a requirement for the KCP employee to collect the KCP documentation if KCP is managing the account.

Thanks,

Funda Bozkurt

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