



KCP Exceptions [1]

Amy Horak to: Zbynek Kozelsky
Cc: SBOM, Zia Memon

11/03/2014 12:41 PM

Classification: For internal use only

After our review with Zia last week, please note the exceptions below. I also spoke to Dawn, and if there is any issue that isn't able to be addressed, New Accounts will come back to us to further review.

Southern Financial: BSO Exception granted to accept agreement on file for 025080 to its mirror acct n4g-026161 (3/28/13 version signed 7/2/13 - just never sent to new accts)
Primary account: N4G-025080 - coded and processed correctly. No issues there. A/C opened on
Secondary account, N4G-026161 - this account is missing client agreement.

(this client has about \$150MM in N4G accounts at this point under various entities)



Secondary N4G_026161_Cleint Agreement_W9.pdf

J. Epstein-Virgin Island Foundation: BSO Exception granted to accept agreement attached below (3/28/13 version signed 9/13/13, never sent up to new accounts)
N4G-024950, account opened 09/24/2013.



JE Foundation Acct. Agmt. 9.30.14.pdf

And we agreed to this (emails complete email is below)

"Per our review and conversation earlier today, please note BSO Exceptions granted to accept older account agreements provided that Updated W9s are on file for any accounts opened 7/1/14 or later, and Cash Sweep Letter is obtained for any Accounts opened 3/1/14 or later."

With that I would like to add three more accounts to that - is that possible?

Yadegar, N4G-016626: BSO Exception granted to accept agreement attached below For ACCT AGREEMENT PURPOSES ONLY - not W-9, as that is not required at this time (3/19/14 version signed 7/16/14,)

- Account opened: 12/14/2011,