

Subject: Re: Butterfly Trust account
From: Kimberly Hart <[REDACTED]>
Date: Wed, 31 Oct 2018 21:02:18 -0400
To: Daniel-E Kaiser <[REDACTED]>

Tomorrow, I am free at 8, 9:30 or 4. Do any of those times work for you?

Kimberly Hart
Managing Director | Divisional Control Officer

Wealth Management Americas

Deutsche Bank Trust Company Americas
345 Park Avenue, New York, NY 10154
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On Oct 31, 2018, at 6:17 PM, Daniel-E Kaiser <[REDACTED]> wrote:

Andrew suggested I discuss with you, please let me know when you are free.

Regards,

Dan

Daniel E Kaiser
Managing Director
Head of Key Client Partners - America's
Deutsche Bank Securities Inc.

Wealth Management Division
345 Park Avenue, 26th Floor
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Begin forwarded message:

From: Daniel-E Kaiser <[REDACTED]>
Date: October 31, 2018 at 18:16:43 EDT
To: Stewart Oldfield <[REDACTED]>
Cc: Andrew Gallivan <[REDACTED]>
Subject: Re: Butterfly Trust account

Stewart,

Andrew and I agreed that until the current review of this client is completed that we would not open these related accounts.

Regards,

Dan

Daniel E Kaiser
Managing Director
Head of Key Client Partners - America's
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On Oct 31, 2018, at 17:30, Stewart Oldfield <[REDACTED]> wrote:

Dan and Andrew,

Perhaps we've had some miscommunication on this one, or maybe I'm out of the loop since I've been in sales training for three days, but I'm confused about what's creating concern opening a new account for a client that we have recently KYC'd and have other accounts for. I still need to remediate some KYCs for Jeffrey's other accounts, but I don't think this one should be part of that group. If that's the issue, I will have that resolved early next week I think. If there's something else I need to address, let's discuss as soon as possible.

Thanks

Stewart Oldfield, CFA, CAIA
Director

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