

Subject: Re: Butterfly Trust account
From: Daniel-E Kaiser - [REDACTED]
Date: Wed, 31 Oct 2018 21:05:38 -0400
To: Kimberly Hart [REDACTED]

8:00

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
New York, NY 10154-0004
Work [REDACTED]
Mobile [REDACTED]
Email: [REDACTED]

Key Client Partners (KCP) Americas does not provide investment advice and the products, investment ideas and solutions and related matters discussed herein are provided for discussion purposes only, and strictly on a non-advisory basis. KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank.

The information set forth herein is confidential and personal to you and is being presented for your information and for discussion purposes only. Any reproduction and/or redistribution thereof (in whole or in part) or disclosure of its content without our written consent is strictly forbidden. This communication does not create any legally binding obligation on the part of DBSI or any of its affiliates.

On Oct 31, 2018, at 21:02, Kimberly Hart [REDACTED] wrote:

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
Tel. [REDACTED]
Fax [REDACTED]
Mobile [REDACTED]
Email [REDACTED]

Securities offered through Deutsche Bank Securities Inc

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
New York, NY 10154-0004
Work [REDACTED]
Mobile [REDACTED]
Email: [REDACTED]

Key Client Partners (KCP) Americas does not provide investment advice and the products, investment ideas and solutions and related matters discussed herein are provided for discussion purposes only, and strictly on a non-advisory basis. KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising

independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank.

The information set forth herein is confidential and personal to you and is being presented for your information and for discussion purposes only. Any reproduction and/or redistribution thereof (in whole or in part) or disclosure of its content without our written consent is strictly forbidden. This communication does not create any legally binding obligation on the part of DBSI or any of its affiliates.

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
Deutsche Bank Securities Inc.

Wealth Management Division
345 Park Avenue, 26th Floor
New York, NY 10154-0004
Work: [REDACTED]
Mobile: [REDACTED]
Email: [REDACTED]

Key Client Partners (KCP) Americas does not provide investment advice and the products, investment ideas and solutions and related matters discussed herein are provided for discussion purposes only, and strictly on a non-

advisory basis. KCP products and services are intended and available only for persons who are sophisticated institutional investors within the meaning of the FINRA Rule 4512(C)(3), and who are capable of evaluating the strategies, characteristics and investment risks of, and exercising independent judgment in evaluating, the ideas and products discussed herein. Trades and transactions are subject to relevant internal approvals of DBSI or its affiliates prior to execution, and the execution of any transaction or idea discussed herein is conditional on your becoming a client of Deutsche Bank.

The information set forth herein is confidential and personal to you and is being presented for your information and for discussion purposes only. Any reproduction and/or redistribution thereof (in whole or in part) or disclosure of its content without our written consent is strictly forbidden. This communication does not create any legally binding obligation on the part of DBSI or any of its affiliates.

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

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.