

Subject: Fwd: Butterfly Trust account
From: Daniel-E Kaiser <[REDACTED]>
Date: Wed, 31 Oct 2018 18:08:02 -0400
To: Kimberly Hart <[REDACTED]>

Let's discuss

Regards,

Dan

Daniel E Kaiser
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Begin forwarded message:

From: Stewart Oldfield <[REDACTED]>
Date: October 31, 2018 at 17:30:02 EDT
To: Daniel-E Kaiser <[REDACTED]>, Andrew Gallivan
<[REDACTED]>
Subject: Butterfly Trust account

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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