

Subject: RE: PRIIPs Client Notification [I]  
From: Stewart Oldfield <[REDACTED]>  
Date: Mon, 18 Dec 2017 10:59:07 -0500  
To: Cynthia Rodriguez <[REDACTED]>,  
Bradley Gillin <[REDACTED]>

Classification: For internal use only

This is not an Italian entity is it?

From: Anna-Sofiya Lupolover  
Sent: Monday, December 18, 2017 10:53 AM  
To: Stewart Oldfield <[REDACTED]>  
Cc: Cynthia Rodriguez <[REDACTED]>; Bradley Gillin  
<[REDACTED]>  
Subject: PRIIPs Client Notification [I]

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Hello,

Below is list of clients identified by the WM Regulatory team as EEA clients, hence in scope of the Packaged Retail Investment Product and Insurance-based Investment Product (PRIIPs) Regulation.

Clients will be informed of the PRIIPs regulation, which goes live on January 3rd 2018 via the attached (draft) letter by mail, (presumably) this week. The letter will be mailed centrally based on a list compiled by Brokerage.

If you believe that your client is not EEA domiciled, please let me know ASAP.

Let me know if you have any questions. Thank you.

Account #

Customer EEA Country

Customer Owner

Account Address Line 1

N4G024943

Italy

Stewart Oldfield

THE HAZE TRUST

Kind Regards,

Anna-Sofiya

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Anna-Sofiya Lupolover

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