

Subject: FW: Approval Needed - List of Preferreds [I]
From: Stewart Oldfield <[REDACTED]>
Date: Tue, 14 Jun 2016 17:59:18 -0400
To: Terri Sohrab [REDACTED]

Classification: For internal use only

From: zia Memon
Sent: Tuesday, June 14, 2016 5:56 PM
To: Todd Stevens; Stewart Oldfield; Zbynek Kozelsky; Andrew King; Joseph Dursi
Subject: RE: Approval Needed - List of Preferreds

Todd,

Initial approval should come from the immediate supervisor (9/10 or 24)of the person preparing the marketing piece.

If someone is putting together a customer presentation with factual market data, as long as

Source is identified (Bloomberg/Thompson) then it should take minutes for the supervisor & MRG to approve.

ZIgggy,

Why don't you get your back-up RA (Brian) to assist on these items???

Lets talk tomorrow.

Thank you

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Kind Regards

Zia Memon
Managing Director | Head, WM-US Business Supervisory Office

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From: Todd Stevens
Sent: Tuesday, June 14, 2016 5:31 PM
To: Stewart Oldfield; Zbynek Kozelsky; Andrew King; zia Memon; Joseph Dursi
Subject: RE: Approval Needed - List of Preferreds

We are trying to amend the process to (1) go to MRG first and then (2) go to Ziggy only if presentation contains account specific information (balances, etc). If purely factual market information then the MRG should be sufficient.

Zia will need to opine and advise how we can amend process.

From: Stewart Oldfield
Sent: Tuesday, June 14, 2016 5:06 PM
To: Zbynek Kozelsky; Andrew King
Cc: Todd Stevens
Subject: RE: Approval Needed - List of Preferreds

He is a private banking client . . . And ISG and KCP report to the same person. Who is now copied on this email because this is getting silly.

From: Zbynek Kozelsky
Sent: Tuesday, June 14, 2016 4:56 PM
To: Andrew King
Cc: Stewart Oldfield
Subject: RE: Approval Needed - List of Preferreds

Guys,

Are we doing business with Epstein?

This is a KCP client, why is ISG involved with the client?

Thanks

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Zbynek "Ziggy" Kozelsky
Director | Branch Administrative Manager

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From: Andrew King
Sent: Friday, June 10, 2016 3:22 PM
To: Zbynek Kozelsky
Cc: Stewart Oldfield
Subject: Approval Needed - List of Preferreds

Ziggy,

I've attached a list of preferred equities that was asked for by Richard Kahn; the CFO for Southern Financial, which is an investment entity for the personal wealth of Jeffrey Epstein (one of Stew Oldfield's clients).

The list isn't a recommendation. Instead, it is a list of commonly traded preferred equities, which Richard and Jeffrey can select from to build their own basket.

The original list was provided by Delores Rubin from STG. ISG added the preferred equity CUSIPS, the average daily volume, the Bloomberg consensus rating for the issuers' common equity, and the DB rating for the issuers' common equity columns. Bloomberg was the source of the non DB information.

We'd like to send on Monday afternoon at the latest. Please let us know what disclosures would be required for approval.

Thanks in advance.

Best regards,
Andrew King

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Vice President I Investment Solutions Group

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