

Subject: Re: Butterfly Trust account
From: Stewart Oldfield <[REDACTED]>
Date: Wed, 31 Oct 2018 19:59:03 -0400
To: Daniel-E Kaiser <[REDACTED]>
Cc: Andrew Gallivan <[REDACTED]>

Thanks. Let me finish the rest of the remediation for the other accounts. We are 95pct of the way there.

Stewart Oldfield, CFA, CAIA
Director

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On Oct 31, 2018, at 6:16 PM, Daniel-E Kaiser <[REDACTED]> wrote:

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

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