

Subject: Re: Butterfly Trust account
From: Daniel-E Kaiser <[REDACTED]>
Date: Wed, 31 Oct 2018 18:16:43 -0400
To: Stewart Oldfield <[REDACTED]>
Cc: Andrew Gallivan <[REDACTED]>

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
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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

Stewart Oldfield, CFA, CAIA
Director

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