

**DOLFIN FINANCIAL (UK) LTD - IN SPECIAL ADMINISTRATION  
COMPANY NUMBER - 07431519**

**MINUTES OF THE INITIAL MEETING OF CLIENTS AND CREDITORS**

**DATE** 2 September 2021

**TIME** 11:00 am

**VENUE** etc Venues, 200 Aldergate Street, London, EC1A 4HD

**PRESENT**

Adam Stephens (AS) - Smith & Williamson LLP (Chairman)

Kevin Ley (KL) - Smith & Williamson LLP

**IN ATTENDANCE**

72 Clients represented by submitted proxy (per attached proxy schedule)

60 Clients represented in person (per attached attendance register)

26 Creditors represented by submitted proxy (per attached proxy schedule)

6 Creditors represented in person (per attached attendance register)

Representatives from Joint Special Administrators' legal advisors, DWF LLP

Representatives from the FCA

Representatives from the FSCS

- 1 The Chairman presented the proposals and report to clients and creditors. A copy of this presentation can be found on the dedicated Dolfin webpage hosted by the Joint Special Administrators at: <https://smithandwilliamson.com/dolfin-financial/>

The proposals were approved without modification.

- 2 Clients and Creditors voted to approve the formation of a clients' and creditors' committee.

No resolution was reached as to the membership constitution of the committee at the meeting so this will be decided by way of a subsequent vote.

- 4 Clients and Creditors were invited to provide information on any concerns regarding the way in which the company's business had been conducted, and on potential recoveries for the estate.

As this was not the forum to discuss any such concerns, Clients and Creditors were encouraged to put these in writing to the Joint Special Administrators.

- 5 There being no other business the meeting was closed at 2:02 pm.

Signed

A handwritten signature in black ink, appearing to be 'A. Step' or similar, written in a cursive style.

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Chairman

Date: 3 September 2021