

For Level 1 escalations please contact Mohammed-B Hussain at email id : [REDACTED]

For Level 2 escalations please contact Melvin V at email id : [REDACTED]

Passion to Perform |

From: Paolo De-Leon

Sent: Thursday, January 18, 2018 9:02 PM

To: Surendra Singh <[REDACTED]>; Abhijit Mukherjee <[REDACTED]>

Cc: Keith Buckholz <[REDACTED]>; Srikanta Gouda <[REDACTED]>

Subject: RE: New Derivatives account. [I]

Hi Abhijit and Surenda,

Just to confirm my understanding of the process, Abhijit's team cannot proceed with adding of the collateral to the daily derivative report until Surenda's team builds a dummy bond in LS2, and Surenda cannot proceed unless she has the below highlighted items? So it seems that process is in a logjam until all the below information is retrieved.

Surenda- in the past when onboarding Wealth Management clients onto LS2, what was the name of the person who provided to you the below information? It seems that in Srikanta note below that CRM is responsible for providing the LS2 team with that information, but CRM is typically involved only with credit risk analysis and margining approval; the information below seems operational and compliance based in nature. I'd like to track down the ultimate owners of the below information so that we can create a process around retrieving this information when setting up new LS2 profiles.

SIC Code

NACE Code

KYC Document

PCR Document

RDC Document

Thanks,

Paolo



Paolo De Leon

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Tel. [REDACTED]

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From: Sachiva Gupta

Sent: Wednesday, January 17, 2018 11:07 AM

To: Paolo De-Leon <[REDACTED]>; Abhijit Mukherjee <[REDACTED]>

Cc: Keith Buckholz <[REDACTED]>

Subject: RE: New Derivatives account. [I]