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#PositiveImpact

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**From:** Craig Roberts  
**Sent:** Friday, May 24, 2019 4:26 PM  
**To:** Ellenoi Jarvis <[REDACTED]>; Ian Salters <[REDACTED]>; Funda Bozkurt <[REDACTED]>  
**Cc:** [REDACTED] <[REDACTED]>; Rebecca Gally <[REDACTED]>; Jessica DeSocio <[REDACTED]>  
**Subject:** RE: NFA [I]

Classification: For internal use only

All,

Please find attached two lists. The 1<sup>st</sup> list was provided by WM to ORDS, and ORDS used the list to send required Dodd-Frank Quarterly notices in Q1 2019. The 2<sup>nd</sup> list is the WM Client List dated as of yesterday. 106 of the 265 records, or 40%, of the names that appear in the 1<sup>st</sup> list do not appear in the WM Client list. Those names are highlighted in green. I've highlighted names in the WM Client List in yellow that appear in both lists.

Before we decide what to send to NFA, can you please provide an explanation for the disparity between the two lists and some guidance as to what list is appropriate for the NFA request?

Thanks,  
Craig



Craig Roberts  
Director | Dodd-Frank Compliance  
60 Wall Street, 10005-2836 New York, NY, USA  
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#PositiveImpact

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**From:** Ellenoi Jarvis  
**Sent:** Friday, May 24, 2019 12:54 PM  
**To:** Anthony Carbonetto <[REDACTED]>; Craig Roberts <[REDACTED]>; Ian Salters