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**From:** Ian Salters [REDACTED]  
**Sent:** 2/15/2019 5:36:42 PM  
**To:** Funda Bozkurt [REDACTED]; Thomas Klemm [REDACTED]  
**CC:** Kimberly Hart [REDACTED]  
**Subject:** RE: Client OTC derivatives trading with CIB [I]  
**Attachments:** WM clients trading with GM - combined list 02.16.19.xlsb

Classification: **For internal use only**

Revised updated file from JAX (which is more promising). When I am back from vacation, I will work with Thomas to address the below.

Regards

Ian

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**From:** Funda Bozkurt  
**Sent:** Friday, February 15, 2019 5:33 PM  
**To:** Ian Salters <[REDACTED]>, Thomas Klemm <[REDACTED]>  
**Cc:** Kimberly Hart <[REDACTED]>  
**Subject:** FW: Client OTC derivatives trading with CIB [I]

Classification: **For internal use only**

Ian,

I received your email around the Opt up process in PDFs. It is quite helpful. May I see the desk's KOPs and Ellenoi's/Nina's procedures? It should not be a separate process, but the new process should be inserted to WM GM procedures.

Please attach the action plan to the SII in DBtrack and call me if you have any further questions or even a help with attaching the doc.

We need to closely monitor the remediation and provide updates to the action plan. As I glance through your list, I am not clear on a couple of things, please clarify

1. what the total population is,
2. how did you determine the priority
3. what happens to the clients that are not being prioritized or will not be on boarded onto GM. Did off boarding process start?
4. We are not delivering the WM KYC docs to GM anymore? I thought we were going to ask for the deltas. If not, please clarify the onboarding process as this is not how WM is onboarding the clients.
5. KOP language

Also, I have been asking for a while, but GM and WM should have an SLA in place that outlines the roles and responsibilities. I have more but let's meet once you are back.