

All,

We took the attached list of WM clients to the ICG team to establish the most appropriate way to avoid trades for WM clients requiring ICG coverage from being blocked due to disconnect between CIB's central offboarding tracker and Tradefinder data.

There was a preliminary discussion with Iain Macara from ICG, who has agreed that for cases where WM ask ICG to execute trades, WM's order can be taken even if the GM status is Red, provided the Red/Amber cases in CIB are agreed to be Green centrally via the appointment of a WM ACO.

Before we can take this list for approval, there are **actions/ status for WM owners** that I have **highlighted in column U OF 'COMBINED WITH FILE ID' tab**, mainly for Red/Amber cases:

1. For **client without a GM business relationship** in column H, note that **they cannot be progressed as ICG do not deal with non GM client** (if any non GM ones are red and you are concerned about it, it can be dealt via a 2018 full CIB population check we are commencing)
2. For **green GM clients** in column J – **no action** as CIB ACO is intact
3. For **Reds and Amber GM clients** in column J, we have checked with CIB and some items are for noting & some for action :

For action:

- a. Not on 52k – WM ACO to provide approval to be the new ACO
- b. Not on 52k KYC out of date – WM to check if KYC is up to date and provide confirmation from ACO that record is up to date and ACO can take ownership

For noting:

- a. On 52k but WM agreed to offboard – action to check why these are on the current list (all KCP US cases)
- b. On 52k but not identified as WM interest – action to check why these are on the current list (KCP US & EMEA cases)
- c. On 52k but too late to retain at the time of 52k check – 1 case was not retained at the time and should not be on this list (APAC coverage – Reema's case)
- d. On dbKYCs remediation – these clients are currently being remediated so we have asked if any additional action is required (APAC coverage – Reema's cases)
- e. Retained as part of AFC dispensation – 1 case has been retained recently – CIB will ensure the status is changed to green (EMEA KCP case)

Can I please request you to make note of the noting items and **progress your actions in the next week** to have a confirmed view by mid August. If there are any immediate concerns, please go via Saleha or Sonya as I am out of office next week.

Best,
Tanu



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Director
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