

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b. Not on 52k KYC out of date – WM to check if KYC is up to date and provide confirmation from ACO that record is up to date and ACO can take ownership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



Tanu Kirti

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"WM Mercury on myOB"

From: Tanushree Kirti

Sent: Wednesday, 25 July, 2018 0:32

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[REDACTED]; Danny Heng <[REDACTED]>; Christopher Lai [REDACTED]

Cc: Sonya Hunjan [REDACTED]

Subject: List of WM clients dependent on CIB ICG sales [1]

Classification: **For internal use only**

Hi All,