

From: Ian Salters [REDACTED]
Sent: 10/30/2018 10:29:18 AM
To: Davide-A Sferrazza [REDACTED]; Nina Tona [REDACTED]
Subject: FW: Family Office Initiative - Follow Up [I] [SC] [C]
Attachments: WM clients_ICG coverage 31July2018 - CIB update_KCP US Comments.xlsx; image003.gif; image004.gif; image005.gif; image006.gif

Classification: **Confidential**

Can we tidy this up asap

Thanks

ian

From: Tanushree Kirti
Sent: Tuesday, October 30, 2018 10:17 AM
To: Davide-A Sferrazza <[REDACTED]>; Nina Tona <[REDACTED]>
Cc: Max Kleinert <[REDACTED]>; Ian Salters <[REDACTED]>; Victoria Bruce <[REDACTED]>
Subject: RE: Family Office Initiative - Follow Up [I] [SC] [C]

Classification: **Confidential**

Hi Davide and Nina,

The spreadsheet provided from US KCP is confusing for CIB. I would really appreciate if this is structured for Aziz's team to take clear steps esp. when they had put specific actions per Red and Amber clients in column U of 'Combined with Field ID' tab.

I have split the ask below but would want you to confirm and be mindful of being clear what we want CIB to do.

Btw, a lot of Red and Amber clients on this 'Combined with Field ID' tab were on the June offboarding list and have been offboarded so the US KCP team were asked to make note of it – has this been done?

1) Existing Red and Amber clients that can be turned green either with ACO approval or confirmation from CDS team that KYC in CIB is up to date

CRDS ID	Adoption	UCL_LEGALNAME	WM ACO	File Combined Tab	BR	CORP_GM_PRODUCT_COLOUR	Approvals required
1000039769	GB	AVALON ADVISORS, LLC	Daniel E Kaiser	KCP US	GM	RED	Confirmation required from regional leads that KYC was completed to the required standard. NCA required if KYC has not