
From: Ian Salters [redacted]
Sent: 4/16/2019 4:18:57 PM
To: Joshua Shoshan [redacted]; Liam Osullivan [redacted]; Davide-A Sferrazza [redacted]
[redacted]; Martin Zeman [redacted]
CC: Ian Salters [ian.salters@db.com]
Subject: IWP Package remediation - Phase ii [I]
Attachments: IWP Accounts_Summary_Funda (04.16.19).xlsx

Classification: **For internal use only**

Gents

Thanks for all your continued help. Please see present file. Basically I see the plan of action going forward is as follows:

- Remediate the outstanding packages (Devon, Sarowitz plus Steven Beauchamp & Michael R Haske);
- Review the inactive list to see which clients trade with GM and hence need remediating;
- Identify which clients have deficient KYC and rectify across WM & GM;
- Review the packages to ensure that under the Client Relationship each account has a package or an addendum to the package outlining all the underlying accounts.

I am looking to extend this issue to the end of Q1'2020 so we have more breathing room.

Comments welcomed.

Kind regards,
Ian Salters



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