
From: Nina Tona [REDACTED]
Sent: 3/16/2018 11:34:43 AM
To: Davide-A Sferrazza [REDACTED]; Xavier Avila [REDACTED]
CC: Joshua Shoshan [REDACTED]; Alastair Mackinlay [REDACTED]; Martin Zeman [REDACTED]
[REDACTED]; Billy Obregon [REDACTED]; Ian Salters [REDACTED]
Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]

Classification: **For internal use only**

Thanks, Davide.

- Armory: client is coming to NY for meeting on 3/23, so it would be great to have a list of KYC update requirements by then. From your email below it looks like this was already started, so does that mean we have the list? Or do we need Rita to provide still? – Billy already has the list.
- Monex: low priority, client is more focused on Niscaly account opening - Ok
 - o Niscaly is in process of opening WM Pershing account, but is also set up in GM (inactive onboardings in FX Cash and Cash Fixed Income)
- Colina: this is an AB account, so Billy is not familiar. Xavi can perhaps provide some more color here... - This with Rodrigo, not Billy.

Thank you

Nina Tona

From: Davide-A Sferrazza
Sent: Thursday, March 15, 2018 7:32 PM
To: Nina Tona [REDACTED]; Xavier Avila [REDACTED]
Cc: Joshua Shoshan [REDACTED]; Alastair Mackinlay [REDACTED]; Martin Zeman [REDACTED]; Billy Obregon [REDACTED]; Ian Salters [REDACTED]
Subject: RE: GM KCP Bible - Action Plan - Update I KYC Priority List [I]

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Nina,

I discussed Billy's accounts with him this afternoon. Feedback was as follows:

- Armory: client is coming to NY for meeting on 3/23, so it would be great to have a list of KYC update requirements by then. From your email below it looks like this was already started, so does that mean we have the list? Or do we need Rita to provide still?
- Monex: low priority, client is more focused on Niscaly account opening
 - o Niscaly is in process of opening WM Pershing account, but is also set up in GM (inactive onboardings in FX Cash and Cash Fixed Income)
- Colina: this is an AB account, so Billy is not familiar. Xavi can perhaps provide some more color here...

Let's discuss tomorrow when we have a chance so we can fill in the blanks on the spreadsheet – thanks!

Regards,