

**From:** Christopher Whyton [REDACTED]  
**Sent:** 2/1/2017 8:38:14 AM  
**To:** Vahe Stepanian [REDACTED]  
**CC:** Isabel-A Gonzalez [REDACTED]  
**Subject:** RE: Remediation 2015-2016\_ ACO queries.xlsx

Hi Vahe

Hope you're well. I'm working on the ACO workstream in GM and have been made aware of the below client (in yellow) that is due for KYC remediation but doesn't have an ACO assigned. Are you able to propose an ACO?

Isabel (cc'd) needs to feed the ACO name back to COB/outreach fairly urgently as the stance taken is that any clients without an ACO should be moved to the red list for offboarding.

Thanks  
Chris

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**From:** Isabel-A Gonzalez  
**Sent:** 01 February 2017 11:51  
**To:** Christopher Whyton  
**Subject:** RE: Remediation 2015-2016\_ ACO queries.xlsx

Hi Chris,

I have done a bit of digging on this. As per below table, two of this names were indeed included in the Phase I of the Trading Outreach. The other 2 may have happen offline via Iain. Please see below the details I have been able to extract:

CLIENTID	LEGAL_NAME	GM Sales Sponsor for Outreach	In trading outreach Phase I	Trading Outreach Output		Person Making Suggestions
				ACO suggested	Sales suggested	
1000040765	William Beaumont Hospital	[REDACTED]				
1004688558	Proven Wealth Limited	Adrienne Coyle	yes	Alex Giannou	Adrienne Coyle	Bruce Harkness, EM
1007406812	Southern Financial, LLC	Vahe Stepanian				
1008346243	Tradition SEF, Inc.	Olivier Pariente - TCG	Yes	Olivier Pariente - TCG	Matt Barnett (TCG)	Matt Barnett (TCG)

My suggestions are:

- #1 - reach out to Anthony. He is very responsive
- #2 - reach out to ACO, and Bruce.
- #3 - reach out to Vahe
- #4 - reach out to Matt.

Thanks.

Kind regards,  
Isabel.