

Classification: **For internal use only**

Hi Chris – we are actually offboarding Southern Financial in GM. Let us know if you need anything else.

Best,
Vahe

From: Christopher Whyton
Sent: Wednesday, February 01, 2017 8:38 AM
To: Vahe Stepanian
Cc: Isabel-A Gonzalez
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

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 these names were indeed included in the Phase I of the Trading Outreach. The other 2 may have happened offline via Iain. Please see below the details I have been able to extract:

Trading Outreach Output						
CLIENTID	LEGAL_NAME	GM Sales Sponsor for Outreach	In trading outreach Phase I	ACO suggested	Sales suggested	Person Making Suggestions
	William Beaumont Hospital Proven Wealth Limited Southern Financial, LLC	anthony.campo@db.com Adrienne Coyle Vahe Stepanian	yes	Alex Giannou	Adrienne Coyle	Bruce Harkness, EM
	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.