

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]
From: Samantha Harmon <[REDACTED]>
Date: Tue, 12 Sep 2017 10:16:57 -0400
To: Andrew Gallivan <[REDACTED]>

Classification: For internal use only

Bad news. I'm triple and quadruple checking the calculations, but it looks as if DB is not the Trustee on any of these.

Kind regards,
Samantha Harmon

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Samantha Harmon
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From: Andrew Gallivan
Sent: Tuesday, September 12, 2017 9:01 AM
To: Samantha Harmon <[REDACTED]>
Subject: FW: What are you presenting to the Risk committee Monday on high risk KYC's [I]

Classification: For internal use only

From: Vaishali-P Mehta
Sent: Monday, September 11, 2017 9:10 AM
To: Adrienne Bull; Andrew Gallivan; Patrick Harris
Cc: Rodrigo Quintero
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

Classification: For internal use only

Hello

Please see attached, all the moderate rate risk Trust clients.

Please let me know if anything else is required

Regards,

Vaishali

From: Adrienne Bull
Sent: Monday, September 11, 2017 8:43 AM
To: Andrew Gallivan <[REDACTED]>; Patrick Harris
<[REDACTED]>
Cc: Vaishali-P Mehta <[REDACTED]>; Rodrigo Quintero
<[REDACTED]>
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

Hi Vaishali

Can you please send the list of moderate risk trust accounts to Andrew.

Kind regards
Adrienne

-----Original Message-----

From: Andrew Gallivan

Sent: Monday, September 11, 2017 07:35 AM Eastern Standard Time

To: Adrienne Bull; Patrick Harris

Cc: Vaishali-P Mehta; Rodrigo Quintero

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

Classification: For internal use only

Send me the full list and we can pull the DB Trusts

From: Adrienne Bull

Sent: Friday, September 08, 2017 5:49 PM

To: Patrick Harris; Andrew Gallivan

Cc: Vaishali-P Mehta; Rodrigo Quintero

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

Hi Pat –

Regarding your request below, I met with Vaishali and understand the following:

Although trust accounts are able to be identified, there is no way to identify those that are DB-administered. The current list of trust accounts (moderate risk) is 392.

Of Note: There is a flag in DB Force that allows a user to check if the trust is DB administered but it is not always populated when applicable.

i.e., running a report using the DB administered flag would not produce an accurate list of DB Administered Trusts.

Based on the above, please advise if you would like to list of Trust Clients (392 Clients)

Kind Regards

Adrienne

[REDACTED]

From: Patrick Harris
Sent: Friday, September 08, 2017 1:11 PM
To: Andrew Gallivan <[REDACTED]>; Adrienne Bull <[REDACTED]>
Cc: Vaishali-P Mehta <[REDACTED]>; Rodrigo Quintero <[REDACTED]>
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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Adrienne,

Can you help us get the information on the Medium risk accounts that are DB-administered trusts? The trust group can be helpful in accelerating the process for lots of Mediums.

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Patrick Harris
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From: Andrew Gallivan

Sent: Friday, September 08, 2017 1:03 PM

To: Patrick Harris <[REDACTED]>

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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Yes let's get that going I can get David Ed et al up to speed and let's get this rolling

From: Patrick Harris

Sent: Friday, September 08, 2017 1:00 PM

To: Andrew Gallivan

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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I absolutely agree. Do you need the list? I can get Daphne/others to lead them through what is needed.

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EFTA01398713

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From: Andrew Gallivan
Sent: Friday, September 08, 2017 12:06 PM
To: Patrick Harris <[REDACTED]>
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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Also thinking about this for the medium risk KYC related to the previously exempted trusts let's engage the trust team to help gather all the necessary information. They will have direct client contact and should be able to handle that outreach. We may need to educate them on the intricacies of the new policy but they should be able to lift some of this burden. Ultimately the banker's name will need to be tagged to this from a completion monitoring standpoint but someone else can help in plowing through these....Thoughts?

From: Patrick Harris
Sent: Friday, September 08, 2017 11:47 AM
To: Andrew Gallivan
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

You're right: "offered" should be deleted.

Sent with BlackBerry Work
(www.blackberry.com)

From: Andrew Gallivan <[REDACTED]>

Date: Friday, Sep 08, 2017, 11:44 AM

To: Patrick Harris <[REDACTED]>

Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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3rd bullet on page 9 wording seems off. I think we want to say has given written guidance but wanted to confirm with you

From: Patrick Harris
Sent: Friday, September 08, 2017 11:39 AM
To: Andrew Gallivan
Subject: RE: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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This is what I'm presenting, on 9/13.

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Patrick Harris
Managing Director | Head, Business Risk Management

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From: Andrew Gallivan
Sent: Friday, September 08, 2017 9:53 AM
To: Patrick Harris <[REDACTED]>
Subject: What are you presenting to the Risk committee Monday on high risk KYC's [I]

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I need to give an update for the DBTCA Board and thought we should be consistent

Regards,
Andrew Gallivan

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Andrew Gallivan

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