

Subject: FW: Market Purity Work Shop [C]  
From: Oliver Esslinger <[REDACTED]>  
Date: Mon, 14 May 2018 13:54:38 -0400  
To: Armen Brash <[REDACTED]>,  
Julie Cataudella <[REDACTED]>  
Cc: Kimberly Hart <[REDACTED]>,  
zia Memon <[REDACTED]>

Classification: Confidential

Hi Armen/Julie:

Before I reach out to Sub GMT heads or similar I thought I'd start with you to review US0 population in scope for market purity. As discussed earlier today in our work shop (Armen, I can debrief you offline) please find enclosed universe of "impure" data (249 clients) asking you to review and provide feedback in excel template columns V-X using enclosed legend as reference as guidance. I already cross referenced to previous PCS or other files you shared with only one match. Besides the impurity based on UBO domicile Metric 1 (column T) we also tracked Metric 2 aka RM covering more than 10 jurisdictions in column S with the following outcome highlighting Mary Ann (9 close to threshold put still "pure" ) and Terrence (11). If needed please discuss with Andrew to get some confirmation in terms of target market coverage as well

Please contact me for any questions, otherwise kindly try to provide me back with high level feedback by end of this week.  
Thank you  
Oliver

Legend:

Outcome Status Rationale  
For review Under review with BC Resolution workshop free text  
Remediation Global Escalation (if required)  
Accepted impurities Not started  
Closure In progress  
Completed  
No further actions  
In progress of correcting  
Exit client  
Move client

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From: Oliver Esslinger  
Sent: Monday, May 14, 2018 9:08 AM  
To: Kimberly Hart <[REDACTED]>; Sheffali Welch <[REDACTED]>; Julie Cataudella <[REDACTED]>; Janet Morales <[REDACTED]>; Andrea DeMar <[REDACTED]>; Clemence-J Loupil <[REDACTED]>; zia Memon <[REDACTED]>; Lauryn Hart <[REDACTED]>; Saleha Bilal <[REDACTED]>; Brian H Heidelberg <[REDACTED]>; Ana-Marie Callangan <[REDACTED]>; Stephan Wessels <[REDACTED]>; Sylvia Junghardt <[REDACTED]>  
Cc: Carl-von Tippelskirch <[REDACTED]>  
Subject: RE: Market Purity Work Shop [C]

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Dear all:

Please find enclosed deck for our 10am work shop, hand outs will be provided to those attending in person at 345 Park.

Best  
Oliver

Oliver Esslinger  
Director | COO  
Head of Business Integrity Americas  
Deutsche Bank Wealth Management  
  
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-----Original Appointment-----

From: Oliver Esslinger

Sent: Monday, May 07, 2018 4:42 PM

To: Oliver Esslinger; Kimberly Hart; Sheffali Welch; Julie Cataudella; Janet Morales; Andrea DeMar; Clemence-J Loupil; zia Memon; Lauryn Hart; Saleha Bilal; Brian H Heidelberg; Ana-Marie Callangan; Stephan Wessels; Sylvia Junghardt

Cc: Carl-von Tippelskirch

Subject: Market Purity Work Shop

When: Monday, May 14, 2018 10:00 AM-11:00 AM (UTC-05:00) Eastern Time (US & Canada).

Where: 345 Park Avenue, conf room 2404, conf call dial in US: 877 329 6902 ; int'l: +1 (647) 252 8995, code: 24540439#