

Subject: RE: Steering Committee Presentation [C] [I]
From: Oliver Esslinger <[REDACTED]>
Date: Tue, 15 Jan 2019 10:48:16 -0500
To: Justin Crook <[REDACTED]>
Cc: Millen Rastogi <[REDACTED]>,
Jessica Krystalla <[REDACTED]>,
Brian H Heidelberg <[REDACTED]>,
Kimberly Hart <[REDACTED]>

Classification: For internal use only

Hi Justin.

Apologies, but can you specify what it is that you are looking for for December?

If you are interested in all new clients onboarded in 2018; including location, name of relationship manager, sub-GMT (Americas or LatAm), net new assets and which products, I defer to Brian cc'd who put the attached excel together through December 14th or 15th I guess.

If you need anything else please reach out again, thank you

Oliver

{cid:image001.gif@01D0ADA8.15AE9BA0}

Oliver Esslinger
Director | C00

Head of Business Integrity Americas

Deutsche Bank Wealth Management

Deutsche Bank Trust Company Americas

Postal address: 345 Park Avenue, 14th floor, New York, NY 10154, USA

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From: Justin Crook
Sent: Monday, January 14, 2019 5:39 PM
To: Oliver Esslinger <[REDACTED]>
Cc: Millen Rastogi <[REDACTED]>; Jessica Krystalla
<[REDACTED]>
Subject: FW: Steering Committee Presentation [I] [C]

Oliver,

Good afternoon. Thanks again for this. Are you now able to provide information for December too?

Rgds,

Just.

From: Oliver Esslinger
Sent: Thursday, December 20, 2018 5:01 PM
To: Justin Crook <[REDACTED]>
Cc: Thomas Klemm <[REDACTED]>; Patrik Hoffmann
<[REDACTED]>; Julia-C Vetter <[REDACTED]>; Melanie
Keefe <[REDACTED]>
Subject: RE: Steering Committee Presentation [I] [C]

Classification: Confidential

Hi Justin:

Since you did not mind piece mail please note that Donna K. already provided you with NNA data (2nd bullet),

Please also find enclosed screen shot for 3rd bullet confirmed by CAO and HR

1st bullet response attached via excel, which has everything except AuM – see reference to 2nd bullet.

Patrik may have already shared insights on #4 otherwise deferring to him.

{cid:image001.png@01D49884.E9E597F0}

PS: Melanie cc'd is also working on a consolidated deck we can share with you later on this year.

Best

Oliver

{cid:image001.gif@01D0ADA8.15AE9BA0}

Oliver Esslinger
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From: Justin Crook
Sent: Wednesday, December 19, 2018 8:32 AM
To: Oliver Esslinger <[REDACTED]>
Subject: RE: Steering Committee Presentation [I]

Oliver,

Good morning. Prior if possible and drip feeding is fine. Thanks.

Rgds,

Just.

From: Oliver Esslinger
Sent: Tuesday, December 18, 2018 10:17 AM
To: Justin Crook <[REDACTED]>
Subject: FW: Steering Committee Presentation [I]

Classification: For internal use only

Justin:

By when do you need this info. For Audit kick-off in Jan or even prior? Can we send piece mail or do you prefer/require consolidated deck?

Best

Oliver

{cid:image001.gif@01D0ADA8.15AE9BA0}

Oliver Esslinger
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From: Thomas Klemm

EFTA01399458

Sent: Monday, December 17, 2018 12:04 PM

To: Justin Crook <[REDACTED]>

Cc: Oliver Esslinger <[REDACTED]>; Emily Craig

<[REDACTED]>; Julia-C Vetter <[REDACTED]>; Patrik

Hoffmann <[REDACTED]>; Donna Kerrigan <[REDACTED]>

Subject: RE: Steering Committee Presentation

Hi Justin,

happy to help:

Oliver and Zia have been looking into your #1 and we could share that. Oliver, is that correct?

#2, Donna Kerrigan can probably share with you the best available analysis. Breaking this immediately down to single client might not be the most effective way to start with. If Donna sends what we have, we might take it from there?

#3: Julia can get you the data

#4: Patrik will send what we have. Please keep in mind that LatAm strategy is currently being renewed with George Crosby on the platform and we can send you an early draft, but work will continue until Feb.

Let me know if you need more.

Thanks

T

From: Justin Crook

Sent: Montag, 17. Dezember 2018 12:00

To: Thomas Klemm <[REDACTED]>

Cc: Oliver Esslinger <[REDACTED]>

Subject: RE: Steering Committee Presentation

Thomas,

Good afternoon. Back to the topic of the segmentation exercise (see below), can you please send me some information to assist with the planning for the forthcoming new business initiatives audit. In particular:

- All new clients onboarded in 2018; including location, name of relationship manager, sub-GMT (Americas or LatAm), net new assets and which products.
- Net new assets from existing clients in 2018; including client location, name of relationship manager, sub-GMT (Americas or LatAm), and which products.
- All new client-facing staff hired in 2018; including hiring date, office location, sub-GMT (Americas or LatAm).
- Presentations outlining WM Americas' current new business and growth strategies.

Thanks.

Rgds,

Just.

From: Justin Crook
Sent: Wednesday, October 03, 2018 9:27 AM
To: Thomas Klemm <[REDACTED]>
Cc: Oliver Esslinger <[REDACTED]>
Subject: RE: Steering Committee Presentation

Thomas,

Good morning. Thanks for your email. Given the ongoing KYC remediation project we have decided to carry out the audit of the 1LoD KYC controls in 2020 once the current remediation exercise is completed. We will obtain coverage of the Private Bank in 2019 via the audit of Covered Clients. Once the audit plan for 2019 is finalized I will of course circulate a copy to yourself and Oliver.

Regarding the segmentation exercise this may be linked to the ongoing KYC remediation project or something that was produced independently of this exercise. I know in EMEA that the local strategy people reporting to Pedro would put together this kind of analysis on a regular basis. If not done for the project then can you point me in the direction of someone else who may be producing this information? Thanks.

Rgds,

Just.

From: Thomas Klemm
Sent: Monday, October 01, 2018 6:48 PM
To: Justin Crook <[REDACTED]>
Cc: Oliver Esslinger <[REDACTED]>
Subject: RE: Steering Committee Presentation

Hi Justin,

thanks for your note!

We now plan to even further accelerate the LR/MR remediation to be completed by YE2019. The efforts of doing that (10,000 files + regular review + simply delivering on the revenue plan) will be enormous for the staff.

If there would be any change to postpone the review after the remediation is complete, it would of course be perfect. If I can ask for an ideal timing in 2019, I would probably tend towards late 2Q/3Q. How long do you think the audit will take and how much support will you need from what people?

Re SII, I cc Oliver: Oliver, are you aware of what was the latest we uploaded into the SII? I believe Ian never came back on the final wording? If need be, we can use his visit next week to get this formally closed.

Re the segmentation exercise: not sure that we did what you are looking for. The purpose was somewhat different but let me follow up and come back to you.

Thanks again.

Thomas

From: Justin Crook
Sent: Montag, 1. Oktober 2018 15:16
To: Thomas Klemm <[REDACTED]>
Subject: FW: Steering Committee Presentation

Thomas,

Good afternoon.

As mentioned we have an audit of the Private Bank on our draft 2019 audit plan. The timing and scope of this audit is still to be determined, but clearly at some point we want to carry out an audit of the 1LoD controls in place over initial client due diligence and ongoing KYC reviews. Regarding the timings of such an audit I see from the most recent steering committee deck that you are planning to have zero HR overdue reviews by year-end, but the remediation of the overdue LR and MR clients will continue throughout 2019 and is expected to be completed by end of May 2020. Is this correct?

While we are not planning to carry out an implementation review as such, we want to come in at the right time without impacting delivery of the project. To this end let me know your thoughts regarding timings.

Also, on related note I saw a draft SII relating to the project but not the final version. Is this now finalized in dbTrack? If so then please send me details.

Finally, has there been a recent segmentation exercise carried out of the WM Americas client-base (e.g. numbers of clients domiciled in countries in LatAm versus USA, including the size of accounts and which products they are invested in)? If so then please send me a copy as I would like to get a better understanding of our existing client base.

Thanks.

Rgds,

Just.

From: Jakob Hahn [redacted]
Sent: Tuesday, September 18, 2018 10:25 AM
To: Thomas Klemm <redacted>; Emily Craig <redacted>;
Leonhard Mueller <redacted>; Oliver Esslinger
<redacted>; Daphne Cales <redacted>; Anna Issel
<redacted>; Irwin Nack <redacted>; Yoonsun Chung
<redacted>; Patrick Campion <redacted>; Derek St-
Hilaire <redacted>; Julia Rutsch <redacted>; Rich
Weber <redacted>; Justin Crook <redacted>; Wolfram Lange
<redacted>; Andrew Gallivan <redacted>; Corinna
Reibchen <redacted>; Kimberly Hart
<redacted>; Kenny Terrill <redacted>
Subject: Steering Committee Presentation

Dear all,

please find attached the presentation for today's Steering Committee.

If you have any questions regarding the presentation, please get in touch.

Best Jakob

Jakob Hahn
Consultant | passcon GmbH

{Consulting Solutions with Pass}

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Registergericht: Amtsgericht Hamburg, HRB 141202

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