

Subject: RE: KCP Capital Markets Catch Up -- 4 PM today
From: Nina Tona <[REDACTED]>
Date: Wed, 11 Jul 2018 13:47:57 -0400
To: Joshua Shoshan <[REDACTED]>,
Xavier Avila <[REDACTED]>,
Martin Zeman <[REDACTED]>,
Davide-A Sferrazza <[REDACTED]>,
Liam Osullivan <[REDACTED]>,
Will McElroy <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>,
Ian Salters <[REDACTED]>

Please see the NCA list attached

Thank you

Nina Tona

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From: Joshua Shoshan
Sent: Wednesday, July 11, 2018 1:33 PM
To: Xavier Avila <[REDACTED]>; Martin Zeman <[REDACTED]>;
Davide-A Sferrazza <[REDACTED]>; Liam Osullivan
<[REDACTED]>; Nina Tona <[REDACTED]>; Will McElroy
<[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters
<[REDACTED]>
Subject: RE: KCP Capital Markets Catch Up -- 4 PM today

Here is a stab at agenda items, following especially what Xavi wrote on Monday, " Josh/Will did some work on Pershing already we need to review, and Davide/Nina consolidating tracker/OTC/GM in one file only, plus we need to review and attach our list of DB Research access...."

- 1) As for trackers, there is
 - a) "KCP CM Tracker", owned by Davide, and
 - b) the "NCA Priority List", owned by Nina.

We should discuss how these can be merged. We see a problem, in that every day, all day, Davide and Nina are independently working on these files.

- 2) There is the "KCP Cap Mkts Project Tracking" spreadsheet that we used a lot, last updated in May. Davide will bring hard copies. This has proven useful to help us focus. We should likely update it to help us focus on our projects for the rest of the summer.

- 3) Circulated Friday, there is from me and Will the "KCP package status" spreadsheet. This has been done for Pershing only so far, and we will extend it to the GM accounts (aside from knowing which accounts have KCP docs, we should also know which accounts have a) only Pershing, b) both Pershing and GM, c) only GM). Will will bring hard copies, plus my email from Friday. Please note:

- a) No ENJ accounts have been moved yet to AXZ and AZZ
- b) BYR, TDS, GLA are still as is (I raised the issue that -- like in

ENJ – BYR and TDS have some accounts with KCP docs, others do not have them. Who will manage remediation? Any need for IR numbers to separate the cases?

c) We created an ISG tab, and these accounts have not yet moved

d) There are several PA accounts on the list that do neatly fit into a KCP accounts list.

4) Another important group spreadsheet is “GM Research Access”, which looks quite up to date.

Best regards, --Josh

From: Xavier Avila
Sent: Monday, July 09, 2018 6:22 PM
To: Joshua Shoshan <[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Liam Osullivan <[REDACTED]>; Nina Tona <[REDACTED]>; Will McElroy <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters <[REDACTED]>
Subject: RE: KCP Capital Markets Catch Up [I]

I moved to weds 4-6pm, I need to leave sharp at 6pm so let's focus for 2 hours.

I will work on agenda tomorrow...but Josh/Will did some work on Pershing already we need to review, and Davide/Nina consolidating tracker/OTC/GM in one file only, plus we need to review and attach our list of DB Research access....

Thanks

From: Joshua Shoshan
Sent: Monday, July 09, 2018 2:09 PM
To: Xavier Avila <[REDACTED]>; Martin Zeman <[REDACTED]>; Davide-A Sferrazza <[REDACTED]>; Liam Osullivan

<[REDACTED]>; Nina Tona <[REDACTED]>; Will McElroy
<[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Ian Salters
<[REDACTED]>
Subject: RE: KCP Capital Markets Catch Up [I]

Oh no, I will be flying at 4 pm et tomorrow. Any chance to do this earlier Tuesday, or Wednesday? Best regards, -Josh

From: Xavier Avila <[REDACTED]>

Date: Monday, Jul 09, 2018, 13:04

To: Martin Zeman <[REDACTED]>, Joshua Shoshan
<[REDACTED]>, Davide-A Sferrazza <[REDACTED]>, Liam Osullivan <[REDACTED]>, Nina Tona <[REDACTED]>, Will McElroy <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]>, Ian Salters
<[REDACTED]>

Subject: KCP Capital Markets Catch Up [I]

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Joyce pls book a room

