

Subject: FW: KYC Remediation [I]
From: Cynthia Rodriguez <[REDACTED]>
Date: Wed, 06 Sep 2017 09:31:59 -0400
To: Bradley Gillin <[REDACTED]>

Classification: For internal use only

Kind regards,

Cynthia Rodriguez

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Cynthia Rodriguez
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From: Daphne Cales
Sent: Friday, June 09, 2017 10:54 AM
To: Stewart Oldfield <[REDACTED]>
Cc: Cynthia Rodriguez <[REDACTED]>; Sheffali Welch
<[REDACTED]>
Subject: KYC Remediation [I]

Classification: For internal use only

Good morning.

Per the new global KYC policy a remediation project has been initiated to update KYCs for all clients identified as "High and Moderate" risk, and will eventually include "Low" risk as well.

Attached you will find a list of your clients that are either due or coming due this year. My team will be assisting with the initial task of confirming that we have the basic information, including IDs, SSN, TINs and launching research requests on the last known parties.

Once that is complete we will forward directly to the RCs/ROs for their review. They will need to reach out to the client for any missing information and confirmation that there has not been any material changes. It is imperative that this is done as quickly as possible. If there are any on the list that you have already done or would like to complete yourself due to any sensitive information please let me know.

Feel free to contact me with any questions or concerns.

Kind regards,
Daphne Cales

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