

Subject: RE: Red List [I]
From: Nina Tona <nina.tona@ab.com>
Date: Tue, 27 Feb 2018 09:54:31 -0500
To: Megha Arora <[REDACTED]>
James Rochford <[REDACTED]>
Dirren Patel <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>
Jitan Patel <[REDACTED]>
Davide-A Sfer <[REDACTED]>

Classification: For internal use only

Hi Megha,

Thank you. Jane doesn't seem to know why they are on the red list.

Can you please call me to clarify? Since you are in charge of the red list I need to know why they are there and how to remove them from the red list.

Nina Tona

From: Megha Arora
Sent: Tuesday, February 27, 2018 9:02 AM
To: [REDACTED]; James Rochford <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]> Jitan Patel
[REDACTED]
Subject: RE: Red List [I]

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Hi Nina – As James mentioned below, Clearing House operates the syndication of red list. I notice, you have extended the meeting invite to Jane Varley. She will be in the best position to answer these questions.

Kind regards,

Megha

From: Nina Tona

Sent: Tuesday, February 27, 2018 8:59 AM

To: [REDACTED] James Rochford <[REDACTED]>

Cc: Alastair Mackinlay <alastair.mackinlay@db.com>, Jitan Patel <[REDACTED]>

Subject: RE: Red List [I]

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Ok, that's good. But why are they on a red list and the trades are rejected.

Who has this red list?

Thank you

Nina Tona

From: Megha Arora

Sent: Tuesday, February 27, 2018 8:54 AM

To: Nina Tona [REDACTED] James Rochford <[REDACTED]>

Cc: Alastair Mackinlay [REDACTED] Jitan Patel <[REDACTED]>

Subject: RE: Red List [I]

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Thanks Nina. Also, separately I checked with my client notification team. No letters have been sent for both clients.

Kind regards,

Megha

From: Nina Tona
Sent: Tuesday, February 27, 2018 7:32 AM
To: James Rochford <[REDACTED]>
Cc: Alastair Mackinlay <[REDACTED]>; Jitan Patel <[REDACTED]>; Megha Arora <[REDACTED]>
Subject: RE: Red List [I]

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Hi James – I have added Jane.

Thank you

Nina Tona

From: James Rochford
Sent: Monday, February 26, 2018 10:51 PM
To: Nina Tona <[REDACTED]>

[REDACTED]
Subject: RE: Red List [I]

Hi Nina,

We are happy to go through the below questions with you.

Please can you also add Jane Varley to your meeting? The Clearing House operate the syndication of the Red List, and also operate the retained process therefore are best placed to respond to many of your questions below.

Please also be aware the Red List contains both clients divisions of CIB have selected to Offboard for commercial reasons, it will also include KYC delinquent cases for which option to retain is limited.

Thanks in advance

James

From: Nina Tona
Sent: 26 February 2018 23:55
To: Megha Arora [REDACTED]

James Rochford <[REDACTED]>

Subject: Red List [I]

Classification: For internal use only

Hello Megha and James,

We have found out today that two of our clients are on a red list which I was unaware of. Both of the clients in question we asked to be retained through Jane Varley and her team. Jitan says there are emails coming from

you regarding the red list which I am not a part of.

1. Who is currently signing off from WM and how can I be included going forward in respect to KCP?
2. Can I see the full red list?
3. If clients are asked to be retained from Jane Varley, why are they on the red list? Do the teams not connect?
4. Tonell – please advise why it's on the red list. Feb 15th it showed up on the lavastorm list and we advised to retain.
5. Southern Financial – we asked to retain a while back and we are in the process of an NCA and a product extension. Why is this on the red list?

This is all very confusing and frustrating because it doesn't seem like the teams communicate with one another and they should.

Your help will be greatly appreciated.

Kind regards,

{https://brandportal.intranet.db.com/img/modules/-DAWM_logo_metallic_46x46.gif}

Nina Tona

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