

Subject: FW: Combined KYC list and priorities [I]
From: Ian Salters [REDACTED]
Date: Sun, 24 Feb 2019 12:28:39 -0500
To: Davide-A Sferrazza [REDACTED]
Cc: Nina Tona [REDACTED]

Let's review tomorrow.

Thanks

Ian

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From: Oliver Esslinger [REDACTED]
Date: Friday, Feb 22, 2019, 19:57
To: Ian Salters [REDACTED], Bill King [REDACTED]
Cc: Thomas Klemm [REDACTED], Victoria Bruce [REDACTED]

Subject: FW: Combined KYC list and priorities [I]

Classification: For internal use only

Hi Ian/Bill:

Thanks for your input provisions, I took the liberty to review and clean up the files, we have now also added ISG RM names and potential KYC outreach contacts going forward.

Our key focus for now should be have a complete inventory of clients in scope including prioritization to share with CIB for identification of action items and time lines.

In this context I ask you to amend the template as following:

- Column M: Based on CIB business differentiation by OTC product (FX vs IR) please flag what kind of exposure the clients have, I hope and assume that it will not matter from a contractual documentation perspective, nevertheless we should have this breakdown for future reviews

- Column 0: For the clients that are not a priority and without current CIB KYC in place is offboarding a feasible alternative (62 or almost 50% for ISG and 30 or almost 40% of IWP clients)? If offboarding is not an option, please provide business rationale/commercial viability.

- other outstanding tab: I am not clear on the purpose probably lacking historic discussions, upon review I highlighted counterparty names which were already captured in first tab, hence not sure what is outstanding here. Only 7 names are not covered yet, can you please advise, clarify?

PS: I will see Vicky on Monday to review next steps also to be discussed in upcoming call hence keeping this in small circle for now .

Best

Oliver

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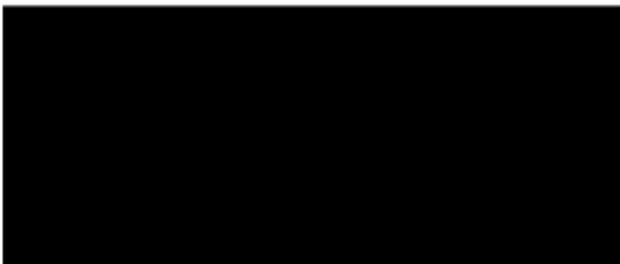
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From: Ian Salters
Sent: Thursday, February 21, 2019 6:14 PM
To: Oliver Esslinger <[REDACTED]>
Cc: Kimberly Hart <[REDACTED]>; Steven Mattus <[REDACTED]>; Thomas Klemm <[REDACTED]>; Victoria Bruce <[REDACTED]>; Bill King <[REDACTED]>; Olivier Poncet <[REDACTED]>
Subject: FW: Combined KYC list and priorities [I]

FYI

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From: Ian Salters <[REDACTED]>

Date: Friday, Feb 15, 2019, 17:31

To: Olivier Poncet <[REDACTED]>, Bill King <[REDACTED]>
Davide-A Sferrazza <[REDACTED]>

Cc: Alastair Mackinlay <[REDACTED]> Nina Tona <[REDACTED]>

Subject: FW: Combined KYC list and priorities [I]

Classification: For internal use only

FYI

From: Ian Salters
Sent: Friday, February 15, 2019 5:31 PM
To: Victoria Bruce [REDACTED] Thomas Klemm
[REDACTED]
Cc: Ian Salters [REDACTED]
Subject: Combined KYC list and priorities [I]

Classification: For internal use only

I have just received an updated file from JAX and the results are a substantial improvement. They have rechecked every client in the dbCAR database and the results are as follows. Many of the names did not come up originally because they were off by a slash, comma, periods, spaces, and other characters.

IWP Onboarded = 43 (further 7 to be prioritized)

WM Onboarded = 53 (further 12 to be prioritized)

I will have both businesses review the results.

Regards

Ian