

Subject: FW: KCP list updated to client perimeter [I]
From: Nina Tona <[REDACTED]>
Date: Wed, 02 Jan 2019 15:47:49 -0500
To: Davide-A Sferrazza <[REDACTED]>

Classification: For internal use only

Nina Tona
Associate
Business Control Manager, Key Client Partners – Americas
Deutsche Bank Wealth Management

Tel. [REDACTED]
Email [REDACTED]

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From: Sonya Hunjan
Sent: Friday, December 14, 2018 11:03 AM
To: Nina Tona <[REDACTED]>
Cc: Tanushree Kirti <[REDACTED]>
Subject: FW: KCP list updated to client perimeter [I]

FYI Nina, this was the KCP file shared with CIB.

Thanks,

Sonya

Sonya Hunjan
PWCC KYC Remediation Programme
Zig Zag Building
Deutsche Wealth Management Limited
70 Victoria Street, SW1E 6SQ London, United Kingdom

From: Sophie Scales
Sent: 10 December 2018 10:06
To: Sonya Hunjan <[REDACTED]>
Cc: Saleha Bilal <[REDACTED]>; Enrique Marrero
<[REDACTED]>; Dan Fox <[REDACTED]>; Claire Butterworth
<[REDACTED]>; Pete King <[REDACTED]>; Tanushree Kirti
<[REDACTED]>; Aziz Anwar <[REDACTED]>; Hin-Yee Wan <hin-
<[REDACTED]>; Diane Franklin <[REDACTED]>; Marina Andre
<[REDACTED]>
Subject: RE: KCP list updated to client perimeter [I]

Classification: For internal use only

Hi Sonya,

Yes all updated you provided in the below file have been loaded into the client perimeter.

Thanks,

Sophie

Sophie Scales
Project Mercury

Deutsche Bank AG, Filiale London

Global Markets

DEUTSCHE BANK
1st Floor
72 London Wall
EC2N 2DB
Email [REDACTED]

From: Sonya Hunjan
Sent: 07 December 2018 17:37
To: Sophie Scales <[REDACTED]>
Cc: Saleha Bilal <[REDACTED]>; Enrique Marrero
<[REDACTED]>; Dan Fox <[REDACTED]>; Claire Butterworth
<[REDACTED]>; Pete King <[REDACTED]>; Tanushree Kirti
<[REDACTED]>; Aziz Anwar <[REDACTED]>; Hin-Yee Wan <hin-
[REDACTED]>; Diane Franklin <[REDACTED]>; Marina Andre
<[REDACTED]>
Subject: KCP list updated to client perimeter

Hi Sophie,

Can you please confirm that the KCP list shared has been updated on the client perimeter?

Thanks,

Sonya

Sonya Hunjan
PWCC KYC Remediation Programme
Zig Zag Building
Deutsche Wealth Management Limited
70 Victoria Street, SW1E 6SQ London, United Kingdom

From: Sonya Hunjan
Sent: 05 December 2018 18:44
To: Aziz Anwar <[REDACTED]>; Hin-Yee Wan <[REDACTED]>; Diane
Franklin <[REDACTED]>; Marina Andre <[REDACTED]>; Sophie

EFTA01408694

Scales <[REDACTED]>
Cc: Saleha Bilal <[REDACTED]>; Enrique Marrero
<[REDACTED]>; Dan Fox <[REDACTED]>; Claire Butterworth
<[REDACTED]>; Pete King <[REDACTED]>; Tanushree Kirti
<[REDACTED]>
Subject: Germany's perimeter - 230k list

Hi,

Please find Germany's identified perimeter to the 230k list attached. Please advise once this has been updated on your master file.

Further to this, please can you confirm that the KCP list shared by WM has been green listed on the master client perimeter.

Thanks in advance,

Sonya

<< File: GY response to 230k list.xlsx >>

Sonya Hunjan
PWCC KYC Remediation Programme
Zig Zag Building
Deutsche Wealth Management Limited
70 Victoria Street, SW1E 6SQ London, United Kingdom

From: Tanushree Kirti
Sent: 30 November 2018 12:55
To: Aziz Anwar <[REDACTED]>; Hin-Yee Wan <[REDACTED]>; Saleha Bilal <[REDACTED]>; Sonya Hunjan <[REDACTED]>; Enrique Marrero <[REDACTED]>; Diane Franklin <[REDACTED]>; Marina Andre <[REDACTED]>; Claire Butterworth <[REDACTED]>; Pete King <[REDACTED]>; Dan Fox <[REDACTED]>; Sophie Scales <[REDACTED]>
Subject: WM and CIB client selection interaction - 30 Nov [I]

Classification: For internal use only

Hi All,

Thank you for attending the call just now. Key discussion points and actions below – please let me know if there are any questions or feedback.

Attendees:

CIB: Diane Franklin, Enrique Marrero, Marina Andre, Charlotte, Dan Fox
WM: Saleha Bilal, Sonya Hunjan and Tanu Kirti

Key messages:

Deadlines for known sprint population as below:

Sprint 2 – end of April 2019,
Sprint 3 – end of May 2019,
ICM – 22nd April 2019

KCP perimeter provided by WM needs to be reviewed by CIB to include in their central perimeter

Diane shared the CIB latest procedures during the meeting that WM will further review and revert with any clarifications or questions

Relevant process steps related to red file identification and remediation as below:

When the file goes red within CIB, CIB will centrally assess ACOs in other divisions based on divisional client perimeter info. Diane's team provide weekly files off the back of this decision – WM will confirm at this stage whether they want to be the ACO or not

If the file is red across all divisions at this stage, file is sent to clearing house via Marina's team for final opinion from all divisions within 2 weeks. WM to veto here for genuine WM interests and provide outreach template with ACO and client outreach info

CIB Client selection confirm back to WM the acceptance or rejection of WM ACO at this stage

CIB Client selection provide outreach info received at previous step to CLM (Claire Butterworth's team) on a weekly basis

CIB CLM team input WM ACO and outreach info in dbKYCs for remediation. WM ACO and outreach to work in dbKYCs with regional CLM teams

Actions:

CIB to confirm treatment of KCP perimeter

WM to review CIB's process deck and come back with any further questions

WM to provide RtB contacts to be involved in clearing house, veto and template provision

Marina to respond the Angela Ng regarding next steps for 5 very important WM cases that are showing red even though remediation was completed in August against v2.1

Best,
Tanu

<< OLE Object: Picture (Device Independent Bitmap) >>

Tanu Kirti
Director

Tel. [REDACTED]
Mobile +44 7833164140
Email [REDACTED]

-----Original Appointment-----

From: Tanushree Kirti
Sent: 09 November 2018 08:45
To: Tanushree Kirti; Aziz Anwar; Sophie Scales; Saleha Bilal; Sonya Hunjan; Hin-Yee Wan
Cc: Enrique Marrero; Diane Franklin; Marina Andre; Claire Butterworth; Pete King; Dan Fox
Subject: WM and CIB client selection interaction
When: 30 November 2018 11:00-11:45 (UTC+00:00) Dublin, Edinburgh, Lisbon, London.
Where: VMR: [REDACTED], Pin: [REDACTED]

Hi All,

Meeting to discuss the procedures and interactions.

Best,
Tanu