

Subject: RE: KYC remediation [I]

From: Ian Salters <[REDACTED]>

Date: Fri, 01 Mar 2019 16:58:26 -0500

To: Kareen Johnson <[REDACTED]>

Brian Serino <[REDACTED]>

Cc: Bill King <[REDACTED]>

Davide-A Sferrazza <[REDACTED]>

Nina Tona <[REDACTED]>

Yasmeen Alim <[REDACTED]>

Jamaal Bushara <[REDACTED]>

Andrea Sandven <[REDACTED]>

Ian Salters <[REDACTED]>

Classification: For internal use only

Dear All,

After conducting a further review the KYC situation is a lot worse. The revised KYC remediation list is as follows:

{cid:image005.png@01D4D04F.FB8DB930}

{cid:image006.png@01D4D04F.FB8DB930}

Thanks for all your help in advance.

Nina – can you please add to tracker.

Ian

From: Kareen Johnson

Sent: Tuesday, February 26, 2019 11:53 AM

To: Ian Salters [REDACTED]; Brian Serino [REDACTED]
Cc: Bill King [REDACTED] Davide-A Sferrazza [REDACTED]

[REDACTED]

Subject: RE: KYC remediation [I]

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Hi Ian,

We will add them to the current pipeline, and assign the cases accordingly.

Thank you !

Kareen Johnson

From: Ian Salters
Sent: Monday, February 25, 2019 4:00 PM
To: Brian Serino <[REDACTED]> Kareen Johnson
[REDACTED]
Cc: Bill King [REDACTED]
[REDACTED]
Subject: KYC remediation [I]

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Brian/Kareen - As previously discussed, the priority list is less than I thought, please see attached clients that need to be onboarded with CIB as a priority:

Bill - can you please take the lead on the ISG clients (this ties into the 32 clients you previously advised of):

Nina / Davide – can you please work together on the IWP clients (understand that Southern Financial is going away):

A) Wealth Management

{cid:image001.png@01D4CDC9.6EF27110}

B) IWP

{cid:image002.png@01D4CDC9.6EF27110}

Kind regards,
Ian Salters

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Ian Salters
COO Americas - Institutional Wealth Partners

DB Securities Inc
Deutsche Bank Wealth Management
345 Park Avenue, 10154-0004 New York, NY, USA
Tel. [REDACTED]
Mobil [REDACTED]
Email [REDACTED]

Visit us: <http://deutschewealth.com>

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