

Subject: RE: Remediation 2015-2016 ACO queries.xlsx [I]
From: Christopher Whyton <[REDACTED]>
Date: Wed, 01 Feb 2017 08:45:17 -0500
To: Vahe Stepanian <[REDACTED]>
Cc: Isabel-A Gonzalez <[REDACTED]>,
Stewart Oldfield <[REDACTED]>,
Alastair Mackinlay <[REDACTED]>,
Iain Macara <[REDACTED]>

Thanks Vahe, ok noted.

Iain – FYI.

From: Vahe Stepanian
Sent: 01 February 2017 13:42
To: Christopher Whyton
Cc: Isabel-A Gonzalez; Stewart Oldfield; Alastair Mackinlay
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx [I]

Classification: For internal use only

Hi Chris – we are actually offboarding Southern Financial in GM. Let us know if you need anything else.

Best,

Vahe

From: Christopher Whyton
Sent: Wednesday, February 01, 2017 8:38 AM
To: Vahe Stepanian
Cc: Isabel-A Gonzalez
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx

Hi Vahe

Hope you're well. I'm working on the ACO workstream in GM and have been made aware of the below client (in yellow) that is due for KYC remediation but doesn't have an ACO assigned. Are you able to propose an ACO?

Isabel (cc'd) needs to feed the ACO name back to COB/outreach fairly urgently as the stance taken is that any clients without an ACO should be moved to the red list for offboarding.

Thanks

Chris

From: Isabel-A Gonzalez
Sent: 01 February 2017 11:51
To: Christopher Whyton
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx

Hi Chris,

I have done a bit of digging on this. As per below table, two of this names were indeed included in the Phase I of the Trading Outreach. The other 2 may have happen offline via Iain. Please see below the details I have been able to extract:

Trading Outreach Output

EFTA01414538

CLIENTID

LEGAL_NAME

GM Sales Sponsor for Outreach

In trading outreach Phase i

ACO suggested

Sales suggested

Person Making Suggestions

1000040765

William Beaumont Hospital

[REDACTED]

1004688558

Proven Wealth Limited

Adrienne Coyle

yes

Alex Giannou

Adrienne Coyle

Bruce Harkness, EM

1007406812

Southern Financial, LLC

Vahe Stepanian

1008346243

Tradition SEF, Inc.

Olivier Pariente - TCG

Yes

Olivier Pariente - TCG

Matt Barnett (TCG)

Matt Barnett (TCG)

My suggestions are:

- #1 - reach out to Anthony. He is very responsive
- #2 - reach out to ACO, and Bruce.
- #3 - reach out to Vahe
- #4 - reach out to Matt.

Thanks.

Kind regards,
Isabel.

Isabel Gonzalez

ICG Sales C00 Team

Deutsche Bank AG, Filiale London

Winchester House, 1 Great Winchester Street

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From: Christopher Whyton
Sent: 01 February 2017 09:37
To: Isabel-A Gonzalez
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx

Hi Isabel

The first 3 below were not part of the debt trading outreach. Do you recall how you were made aware that trading wishes to keep?

The person in the bottom one doesn't exist in the directory so I'll need to ask around in the even they've left.

LEGAL_NAME

GM Sales Sponsor for Outreach

1000040765

William Beaumont Hospital



1004688558

Proven Wealth Limited

Adrienne Coyle

1007406812

Southern Financial, LLC

Vahe Stepanian

1008346243

Tradition SEF, Inc.

Olivier Pariente - TCG

Thanks

Chris

From: Isabel-A Gonzalez
Sent: 31 January 2017 17:49
To: Christopher Whyton
Subject: Remediation 2015-2016_ ACO queries.xlsx

Hi Chris,

As requested please find attached the names and below the statuses to be investigated:

- Internal entities – These accounts require remediation AND an ACO to sign off the remediation.

- o Can we off-board these?

- o If not, please provide an the ACO or get confirmation from AFC/ COB these account don't require ACO attestation

- Data Issues – idem

- CIB Claimed – These have been deemed off-boards unless you can find an ACO or say otherwise

Thanks.

Kind regards,

I.