

Subject: RE: Remediation 2015-2016 ACO queries.xlsx [I]
From: Alastair Mackinlay <[REDACTED]>
Date: Wed, 01 Feb 2017 11:45:23 -0500
To: Vahe Stepanian <[REDACTED]>,
Isabel-A Gonzalez <[REDACTED]>
Cc: Stewart Oldfield <[REDACTED]>,
Iain Macara <[REDACTED]>,
Christopher Whyton <[REDACTED]>,
Nina Tona <[REDACTED]>

Classification: For internal use only

I also don't have access to Aspen but believe the entity in aspen is actually PWM US Southern Financial LLC,US.

Isabel - Are you able to check with the sales reporting team to get more details on Southern Financial Group INC,US. Who set this up, previous trades etc?

Thanks

Alastair Mackinlay

Key Client Partners - Americas

Deutsche Bank Wealth Management

345 Park Avenue, 26th Floor

New York, NY 10154
[REDACTED]

From: Vahe Stepanian
Sent: Wednesday, February 01, 2017 9:17 AM
To: Isabel-A Gonzalez
Cc: Stewart Oldfield; Alastair Mackinlay; Iain Macara; Christopher Whyton; Nina Tona
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx [I]

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Isabel – I'm not sure because I don't have access to Aspen given I sit in Wealth Management.

Adding Alastair and Nina here who work with my team's COO – hopefully they can help.

Thank you,

Vahe

From: Isabel-A Gonzalez

Sent: Wednesday, February 01, 2017 9:13 AM

To: Vahe Stepanian

Cc: Stewart Oldfield; Alastair Mackinlay; Iain Macara; Christopher Whyton

Subject: RE: Remediation 2015-2016_ ACO queries.xlsx [I]

Southern Financial LLC is the DB car name, but the only aspen name we have that looks similar is the below L4. Can you please advise? Is it the same entity? Can we off-board this?

I look forward to hearing from you.

Kind regards,
Isabel.

Isabel Gonzalez

ICG Sales COO Team

Deutsche Bank AG, Filiale London

Winchester House, 1 Great Winchester Street

Tel: + [REDACTED] | EC2N 2DB London

From: Vahe Stepanian
Sent: 01 February 2017 14:00
To: Isabel-A Gonzalez
Cc: Stewart Oldfield; Alastair Mackinlay; Iain Macara; Christopher Whyton
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx [I]

Classification: For internal use only

I was referring to Southern Financial LLC

From: Isabel-A Gonzalez
Sent: Wednesday, February 01, 2017 8:48 AM
To: Vahe Stepanian
Cc: Stewart Oldfield; Alastair Mackinlay; Iain Macara; Christopher Whyton
Subject: RE: Remediation 2015-2016_ ACO queries.xlsx [I]

Thanks Vahe. Can you please confirm the below Aspen L4 is what you are referring to?

L1 Client

L1 Client ID

L1 Client RDS ID

L4 Client

L4 Client ID

L4 Client RDS ID

Southern Financial Group INC,US

[REDACTED]

[REDACTED]

Southern Financial Group INC,US

[REDACTED]

[REDACTED]

I look forward to hearing from you.

Kind regards,
Isabel.

Isabel Gonzalez

ICG Sales C00 Team

Deutsche Bank AG, Filiale London

Winchester House, 1 Great Winchester Street

Tel:+[REDACTED] | EC2N 2DB London

From: Christopher Whyton

Sent: 01 February 2017 13:45

To: Vahe Stepanian

Cc: Isabel-A Gonzalez; Stewart Oldfield; Alastair Mackinlay; Iain Macara

Subject: RE: Remediation 2015-2016_ AC0 queries.xlsx [I]

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]

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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

EFTA01424245

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

CLIENTID

LEGAL_NAME

EFTA01424246

GM Sales Sponsor for Outreach

In trading outreach Phase i

ACO suggested

Sales suggested

Person Making Suggestions

[REDACTED]
William Beaumont Hospital
[REDACTED]

[REDACTED]
Proven Wealth Limited

Adrienne Coyle

yes

Alex Giannou

Adrienne Coyle

Bruce Harkness, EM

[REDACTED]
Southern Financial, LLC

Vahe Stepanian

██████████
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

Tel: + [REDACTED] | EC2N 2DB London

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

[REDACTED]
William Beaumont Hospital
[REDACTED]
[REDACTED]

Proven Wealth Limited

Adrienne Coyle

[REDACTED]
Southern Financial, LLC

Vahe Stepanian

[REDACTED]
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.