
From: Kimberly Hart
Sent: Monday, October 15, 2018 10:13 AM
To: Oliver Esslinger <[REDACTED]>
Cc: zia Memon <[REDACTED]>; Jonathan Groom <[REDACTED]>; Emily Craig <[REDACTED]>; Melisa Venegas <[REDACTED]>
Subject: Re: FIM Relationships and FIMs - KYC Tracker [1]

I was not aware that you were looking for feedback. There are customer owners assigned to the FIMs in DBForce. They would be responsible for the KYCs. If these are active FIMs, KYCs need to be completed as soon as possible. Additionally, the high risk FIM needs a KYC update as well. Finally, I am still not confident that the list is complete. Are we moving forward with reaching out to the Bankers to get confirmations?

Kimberly Hart
Managing Director | Divisional Control Officer

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On Oct 15, 2018, at 9:18 AM, Oliver Esslinger <[REDACTED]> wrote:

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Hi Kim/Zia/Jonathan:

Does either one of you have a chance to opine on this, if possible sometime today?

Thank you

Oliver

<image001.gif>

Oliver Esslinger
Director | COO

Head of Business Integrity Americas

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From: Melisa Venegas
Sent: Friday, October 12, 2018 9:48 AM
To: Jonathan Groom <[REDACTED]>
Cc: zia Memon <[REDACTED]>; Derek St-Hilaire <[REDACTED]>; Emily Craig <[REDACTED]>; Oliver Esslinger <[REDACTED]>; Kimberly Hart <[REDACTED]>
Subject: RE: FIM Relationships and FIMs - KYC Tracker [1]

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