

Subject: RE: KYC remediation [I]

From: Andrea Sandven [REDACTED]

Date: Tue, 05 Mar 2019 14:15:26 -0500

To: Nina Tona [REDACTED]

Cc: Bill King [REDACTED]

Davide-A Sferrazza [REDACTED]

Yasmeen Alim [REDACTED]

Jamaal Bushar [REDACTED],

Ian Salters <[REDACTED]>

Kareen Johnson [REDACTED],

Brian Serino [REDACTED]

Classification: For internal use only

Good afternoon Nina,

Jamaal and I researched the newest list of KYC remediations provided by Ian on Friday. I have attached a spreadsheet that shows our findings from dbCAR. There were 32 from ISG and 20 from IWP. There were only 5 out the 32 ISGs that we were able to locate in dbCAR with full KYC profiles and documentation. Please see the last review dates for these on the spreadsheet as only 1 of the 5 exceed a year. The remaining would be treated as NCAs and we would need a BSF and documentation in order to build the KYC profile in dbCAR. Most of the 20 IWPs were located in dbCAR, and we could begin remediating these as soon as today. Please see our comments regarding our findings in dbCAR, and please let us know which ones you would like us to start remediating now.

Thank you and have a great day,

{cid:image002.png@01D17DF5.9DBBDFD0}

Andrea Sandven

Group Wide Client Data Services | COO DBUSA Core Corp

Deutsche Bank Securities Inc.

EFTA01408588

5201 Gate Parkway, Jacksonville, FL 32256 USA

Mail Stop: JCK-01-965

[REDACTED]

From: Ian Salters
Sent: Friday, March 01, 2019 4:58 PM
To: Kareen Johnson [REDACTED]; Brian Serino

Cc: Bill King [REDACTED]; Davide-A Sferrazza [REDACTED]
[REDACTED]; Nina Tona <[REDACTED]>; Yasmeen Alim
[REDACTED]; Jamaal Bushara [REDACTED]; Andrea
Sandven [REDACTED]; Ian Salters <[REDACTED]>
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Dear All,

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

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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]; Nina Tona [REDACTED] Yasmeen Alim
[REDACTED] Jamaal Bushara [REDACTED]; Andrea
Sandven [REDACTED]
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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]; Davide-A Sferrazza [REDACTED]
[REDACTED]; Nina Tona [REDACTED] Ian Salters
[REDACTED]
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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

EFTA01408590

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

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B) IWP

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Kind regards,
Ian Salters

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Ian Salters
COO Americas - Institutional Wealth Partners

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