

Issue ID:

IS-0002724

Issue Name:

Controls to ensure timely response and escalation of customer service-related comments require enhancement.

Root Cause Explanation:

The root cause is primarily attributable to a lack of change management discipline and oversight to ensure process enhancements are implemented appropriately and working as intended prior to being operationalized.

Issue Rating:

Low Repeat Issue: No

Status: Open Issue Target Date: July 31, 2024

Operating Division:

US Businesses

Risk Category:

12. Product, Operations and Trading

Risk Sub-Category:

12.1 Operations

Root Cause Category:

Process