

Cc: Rodrigo Quintero <[REDACTED]>; Sheffali Welch <[REDACTED]>
 Subject: FW: KYC HR Clients Remediation - Status (9/17/17) [1]

Which bankers did not submit their assigned quota by Friday?

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From: Rodrigo Quintero <[REDACTED]>
 Date: Sunday, Sep 17, 2017, 12:00 PM
 To: Patrick Harris <[REDACTED]>
 Cc: Emily Craig <[REDACTED]>, Daphne Cales <[REDACTED]>, Janice Franklin <[REDACTED]>, Armen Brash <[REDACTED]>, [REDACTED] Welch <[REDACTED]>, [REDACTED] Mehta <[REDACTED]>, [REDACTED] Meh <[REDACTED]>, Felipe Godard <[REDACTED]>, Sven-Otto Westphalen <[REDACTED]>, Janet Morales <[REDACTED]>, Nicholas Allen <[REDACTED]>, Andrew Gallivan <[REDACTED]>, Karen Cohen <[REDACTED]>, Adrienne Bull <[REDACTED]>, Melisa Venegas <[REDACTED]>
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Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 9/17/17). Let me know if you have any question.

Summary

KYC Update Steps	Submitted to Front Office (FO)	FO Approved	MD Approved	Fully Approved
Owner	DT	FO	FO	N/A
Total In Scope (Clients)*	1,200	1,156	1,156	1,156
# Completed (Clients)	1,145	475	468	299
# Remaining (Clients)	55	681	688	857
% Completed	95.42%	41.09%	40.48%	25.87%

DT: Daphne's Team
 FO: Front Office

* Initial pop increased to 1485 due to new AFC HR determinations. Items may be determined out-of-scope during review.

* Multiple items previously identified as 'Out of Scope' due to small relationship(CBV < \$2 mm) have been coming into scope as per Banker's request.

Details

High Risk Remediation Data	USO NY	USO West	USO Central	LatAm	MEA NY	GAT	Other	Total
Initial Population	612	132	92	435	63	23	128	1,485
Out-of-Scope Identified*	59	25	17	162	11	6	49	329