

From: Rodrigo Quintero

Sent: Friday, September 15, 2017 10:17 AM

To: Patrick Harris <[REDACTED]>

Cc: Emily Craig <[REDACTED]>; Daphne Cales <[REDACTED]>; Vaishali-P Mehta <[REDACTED]>

<[REDACTED]>; Adrienne Bull <[REDACTED]>

Subject: KYC HR Clients Remediation - Status (9/08/17) (Revised) [I]

Classification: **For internal use only**

Pat,

Based on our conversation, below are the revised numbers for 9/08/17.

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)*	1,187	1,147	1,147	1,147
# Completed (Clients)	1,021	404	391	271
# Remaining (Clients)	166	743	756	876
% Completed	86.02%	35.22%	34.09%	23.63%

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.

Regards,
Rodrigo



Rodrigo Quintero

Vice President

Deutsche Bank Securities Inc.
Deutsche Bank Wealth Management
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA

From: Rodrigo Quintero

Sent: Friday, September 08, 2017 12:51 PM

To: Patrick Harris <[REDACTED]>

Cc: Emily Craig <[REDACTED]>; Daphne Cales <[REDACTED]>; Janice Franklin <[REDACTED]>

<[REDACTED]>; Armen Brash <[REDACTED]>; Sheffali Welch <[REDACTED]>; Vaishali-P <[REDACTED]>