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Subject: KYC HR Clients Remediation - Status (9/08/17) [1]

Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 9/08/17). 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)*	1,187	1,147	1,147	1,147
# Completed (Clients)	1,021	451	391	271
# Remaining (Clients)	166	696	756	876
% Completed	86.02%	39.32%	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.

Details

High Risk Remediation Data	USO NY	USO West	USO Central	LatAm	MEA NY	GAT	Other	Total
Initial In Scope Clients	612	132	92	435	63	23	128	1,485
Out-of-Scope Identified*	54	27	16	160	14	6	61	338
Fully Approved	152	32	15	62	6	1	3	271
with Banker Team**	341	56	45	125	32	11	53	663
with Manager Director (MD)	5	-	-	3	-	-	4	12
with ABR/AFC	12	11	2	2	2	3	3	35
# of Downgrades (No longer HR)	47	20	9	11	7	2	5	101

* Includes Inactive/closed KYC cases and small relationships with CBV < \$2 mm.

** Includes all KYC cases submitted to FO plus KYC cases Rejected by ABR/AFC.

Week over Week