

Mehta <[REDACTED]>

Subject: KYC HR Clients Remediation - Status (6/30/17) [!]

Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 7/07/17). 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)*	1,009	1,009	1,009	1,009
# Completed (Clients)	507	196	162	96
# Remaining (Clients)	502	813	847	913
% Completed	50.25%	19.43%	16.06%	9.51%

DT: Daphne's Team
FO: Front Office

* Initial pop 1,319. Items may be determined out-of-scope during review.

Details

High Risk Remediation Data	USO	LatAm	MEA-NY	GAT	Total
Initial In Scope Clients	821	417	61	20	1,319
Out-of-Scope Identified*	132	150	18	10	310
with Banker Team**	281	92	-	-	373
with Manager Director (MD)	4	3	-	-	7
with ABR/AFC	9	3	-	-	12
# of Downgrades (No longer HR)	21	9	-	-	30

* 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