

Cc: Emily Craig <[REDACTED]>; Daphne Cales <[REDACTED]>; Janice Franklin <[REDACTED]>; Armen Brash <[REDACTED]>; Sheffali Welch <[REDACTED]>  
**Subject:** KYC HR Clients Remediation - Status (6/09/17) [I]

Classification: **For internal use only**

All,

Below is the Monday morning deliverable (as of 6/09/17). Let me know if you have any question.

**Summary**

| KYC Update Steps                 | Create KYC Checklist | Review Info and Docs | Create KYC Update in System | Attach Checklist & Docs to KYC case | Request Due Diligence profile | Submit to Front Office (FO) | FO Attest to Completeness | Obtain MD Approval | Obtain ABR Approval*** | Obtain AFC Approval |
|----------------------------------|----------------------|----------------------|-----------------------------|-------------------------------------|-------------------------------|-----------------------------|---------------------------|--------------------|------------------------|---------------------|
| Owner                            | DT                   | DT                   | DT                          | DT                                  | DT                            | DT                          | FO                        | FO                 | FO                     | FO                  |
| <b>Total In Scope (Clients)*</b> | 945                  | 945                  | 945                         | 945                                 | 945                           | 945                         | 945                       | 945                | 945                    | 945                 |
| <b># Completed (Clients)**</b>   | 309                  | 397                  | 402                         | 378                                 | 364                           | 346                         | 120                       | 97                 | 4                      | 71                  |
| <b># Remaining (Clients)</b>     | 636                  | 548                  | 543                         | 567                                 | 581                           | 599                         | 825                       | 848                | 941                    | 874                 |
| <b>% Completed</b>               | 32.70%               | 42.01%               | 42.54%                      | 40.00%                              | 38.52%                        | 36.61%                      | 12.70%                    | 10.26%             | 0.42%                  | 7.51%               |

**Details**

| High Risk Remediation Data      | USO | LatAm | MEA-NY | GAT | Total |
|---------------------------------|-----|-------|--------|-----|-------|
| <i>Initial In Scope Clients</i> | 821 | 417   | 61     | 20  | 1,319 |
| <i>Out-of-Scope Identified*</i> | 166 | 164   | 31     | 13  | 374   |
| <i># of KYC Cases Approved</i>  | 51  | 23    | 1      | -   | 75    |
| <i># of KYC Cases Rejected</i>  | 13  | 10    | -      | -   | 23    |
| <i># of Downgrades</i>          | 11  | 8     | -      | -   | 19    |
| <b>Averages</b>                 |     |       |        |     |       |
| <i>Days with Daphne's Team</i>  | 32  | 64    | 20     | 63  | 45    |
| <i>Days with Front Office</i>   | 6   | 6     | 17     | 0   | 7     |